NYS OCFS CMS Contractor Manual

C O N T E N T S

CHAPTER 1 1-1
Chapter 1: Introduction to the Contract Management System 1-2

CHAPTER 2 2-1
Accessing the Contract Management System 2-2
Shortcuts and Favorites 2-7

CHAPTER 3 3-1
Navigating the System 3-2

CHAPTER 4 4-1
Chapter 4: Communication within CMS 4-2

CHAPTER 5 5-1
Chapter 5: Working with Contract Tasks 5-2

CHAPTER 6 6-1
Chapter 6: Reviewing Basic Information 6-2

CHAPTER 7 7-1
Chapter 7: Managing Budget Modifications 7-2

CHAPTER 8 8-1
Chapter 8: Managing Expenditures 8-2

CHAPTER 9 9-1
Chapter 9: Program Reports - Online 9-2

APPENDIXA A-1
Revision History A-2

C H A P T E R 1

Introduction to the Contract Management System

Topics

a Understanding the Purpose of the Contract Management System

b Learning about Contractor Roles

Chapter 1: Introduction to the Contract Management System

Understanding the Contract Management System

The Contract Management System (CMS) is an automated system used by the New York State Office of Children and Family Services (OCFS) to make processing contracts easier and more efficient. The system coordinates communication among Contractors, OCFS Program staff, the Bureau of Contract Management (BCM) staff, and other agency staff. It is a secure, browser-based system accessible to Contractors via the Internet and through the State Network/Intranet for OCFS staff.

CMS is based on the current business rules for processing contracts. Instead of managing contracts through a paper-based system, OCFS staff and Contractors use CMS to transmit data from one organization and/or person to another, review and comment on contracts, and manage tasks related to ongoing contracts, such as expenditures, budget modifications, amendments and renewals. Most importantly CMS assists in project management by tracking these scheduled tasks.

The Contractor view of CMS is divided into modules, each accessible from different system menus. These categories include:

- Announcements
- Inbox and Contract Review Module (entering budgets, filling out forms online, transferring files, online signing of contracts)
- Contractor Details
- Contracts
- Budget Modifications
- Correspondence

Contractor Roles

The specific functions that you can perform on the system are based on a group of roles and privileges assigned to your individual CMS account. Furthermore, your ability to perform a function at a specific time is dependent upon the contract management schedule that is designated for specific types of contracts.

There may be limitations on the functions that you can perform within each module, based on your account. For example, the CONSIG role is designated as the user who can electronically sign contracts toward the end of the contract processing stage. Users functioning in this role are able to view most other contract information, but it is the person performing the CONUSER role who is responsible for most Contractor functions.

The following table shows the modules available in the system and the typical types of access the two contractor user roles – Contractor User (CONUSER) and Contractor Signature (CONSIG), have in each module. The modules listed below are covered in detail later in this manual.

Type of User ➔	**CONUSER**		**CONSIG**	
Modules ↓	**View**	**Perform**	**View**	**Perform**
Announcements/ Notifications	✓		✓	
Inbox	✓	✓	✓	✓
With Contractor Stage Items	✓	✓	✓	
Contractor Signature Stage (e-Signature)	✓		✓	✓
Contractor Details	✓		✓	
Contract Details	✓		✓	
Budget Modifications	✓	✓	✓	✓(partial)
Correspondence	✓	✓	✓	✓

Generally users in the CONUSER role are able to act upon the assigned contract management tasks at the "With Contractor" stage via the Inbox, including:

- Enter/revise budget information;
- Complete interactive documents on-line; and
- Transfer documents out of and into CMS (download/upload).

CONSIG users are able to act upon the assigned contract management tasks at the "Contractor Signature" stage via the Inbox, including:

- Sign contracts using the electronic signature function.

Note: A CONSIG user may perform the same role that a CONUSER might otherwise play in the system for completing Inbox items as long as the schedule for the task indicates that the CONSIG user is responsible for performing the task.

CMS contractor users who function in one of the above roles will have tasks delegated to them through schedules. They will also receive email notifications and CMS correspondence related to these tasks.

C H A P T E R 2

Accessing the System

Topics

a Accessing the Contract Management System

b Adding Shortcuts and Favorites for CMS

Accessing the Contract Management System

Contractors access CMS via the Internet using a web browser. It is strongly suggested you use Microsoft's Internet Explorer, version 6.0 or higher. Additionally, you will need to have Adobe Acrobat Reader 7.0 or higher (free via the Internet) installed on the computer you will be using to access CMS.

If you use an Apple computer, you will need to use Apple Safari version 2.0 and Apple Preview version 3.0. You can substitute "Apple Safari" wherever Internet Explorer is referenced in this manual.

CMS uses an Internet web address, with secure hypertext transfer protocol (HTTPS) enabled. HTTPS is similar to the normal web browsing protocol, except it also uses a Secure Socket Layer (SSL) which is an encryption protocol. Most implementations of the HTTPS protocol involve the exchange of private information. Accessing a secure server often requires some sort of restricted registration and/or login.

To gain access to the system, you need a CMS account. The CMS account defines the role and privileges assigned to you in CMS while using that sign on. This will dictate what you will able to do, and what you will be ablet o see while logged in with that account. This includes only being given access to contracts for your organization. You will not see any information for other organizations who have contracts with OCFS, nor can they view your information.

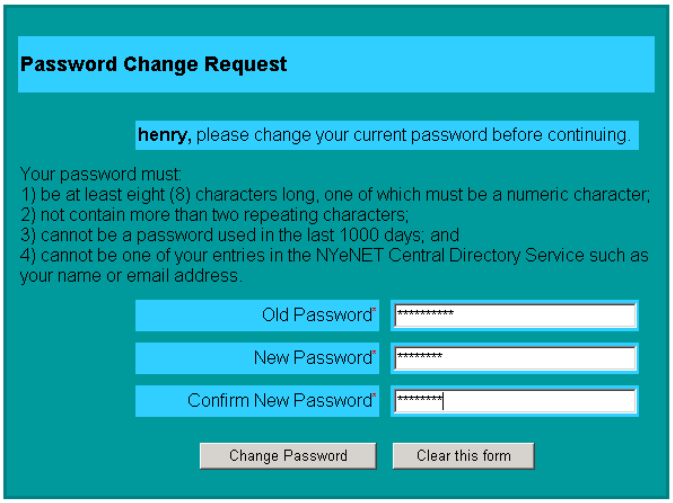
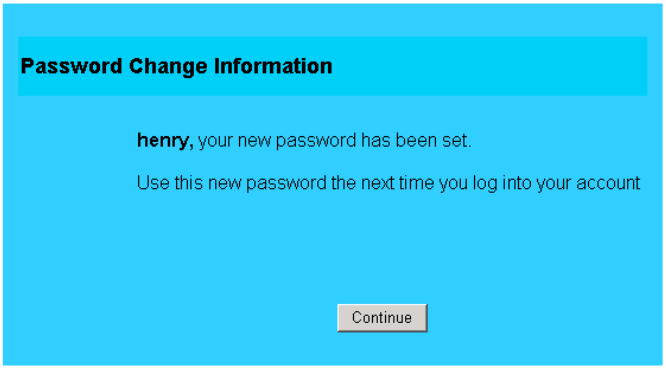
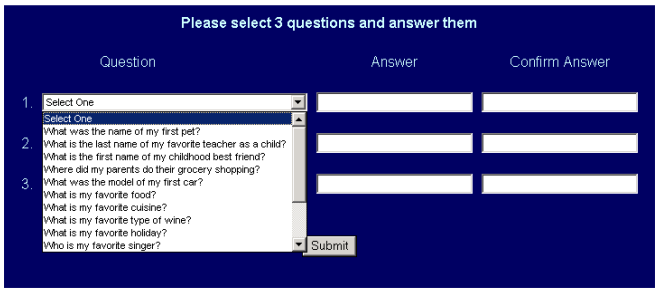
You do need to keep track of your username and password. Users who do not access their accounts for long periods of time may have their accounts disabled. Please contact your Program Manager if you encounter system access issues, just as you would do if you had any questions, comments, and/or need for assistance with any issues related to CMS.

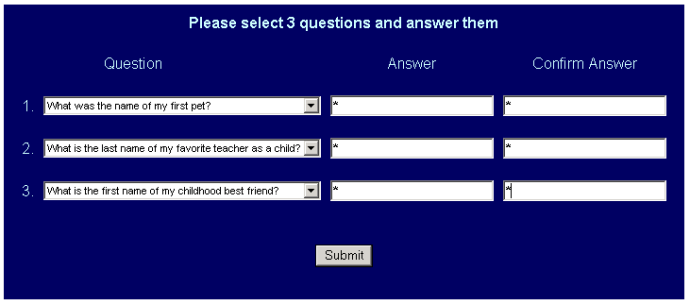
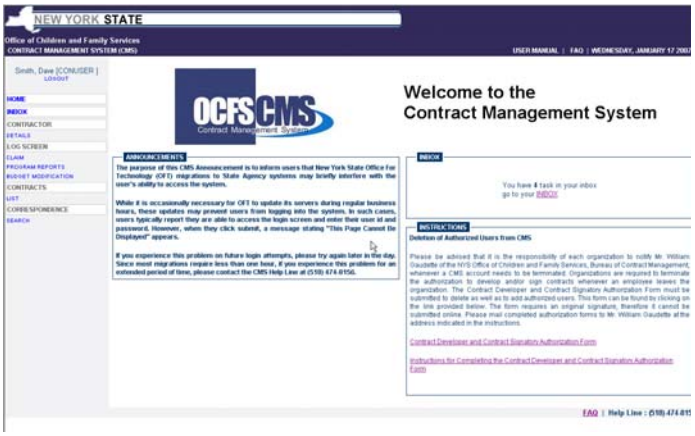
Log Into the Contract Management System for the First Time

When you first log in with your new CMS account, you will be directed to change your temporary password to a permanent one and to also enter answers to your security questions.

✓ Before you begin: Locate your login id and temporary password. OCFS staff should have provided you with this information.

What You Do	*Comments/Prompts*
From your desktop, double-click the Internet Explorer icon. In the Internet Explorer address bar, type the address: **https://ocfsws.ocfs.state.ny.us/cms**	
The login page displays. Enter your username and temporary password, and then click the **Login** button.	
A message may display, asking if you want to have Windows remember this password. For security reasons, click the checkbox left of **Don't offer to remember any more passwords**, then click the **No** button.	

What You Do	*Comments/Prompts*
At the **Password Change Request** window, enter your **Old Password** (which is the temporary password you have just used) and a **New Password**. You will only see *s, not the text you enter. Note the rules for assigning a password before continuing. Retype the new password again in the **Confirm New Password** box. Click the **Change Password** button.	
Click the **Continue** button.	
If this is your first use of the user ID, you will be prompted to add a answers to three questions after creating your password. The Update Shared Secret form opens in a separate window. This is a combination questions and answers known only to you. It allows you to be uniquely identified by NYS Office for Technology Help Desk staff if you forget your password and need assistance. Click the drop-down arrow next to the *Select One* **Question** field to select a question with which to associate your shared secret answer. Tab to the **Answer** and **Confirm Answer** fields and provide an answer to the selected question (the same answer should be in both fields).	 

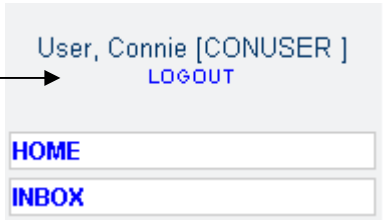
What You Do	Comments/Prompts
Click the **Submit** button to save your information and continue.	
A confirmation message displays. Click the **Continue** button link to close the window and display CMS.	
The **Contract Management System (CMS)** page displays.	

Please select 3 questions and answer them
Question
Answer
Confirm Answer
1. What was the name of my first pet?
2. What is the last name of my favorite teacher as a child?
3. What is the first name of my childhood best friend?
Submit

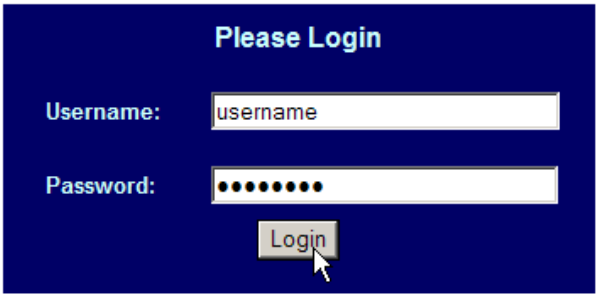
New York State Directory Services
User Administration - Henry User
Your directory entry has been successfully modified!
Continue

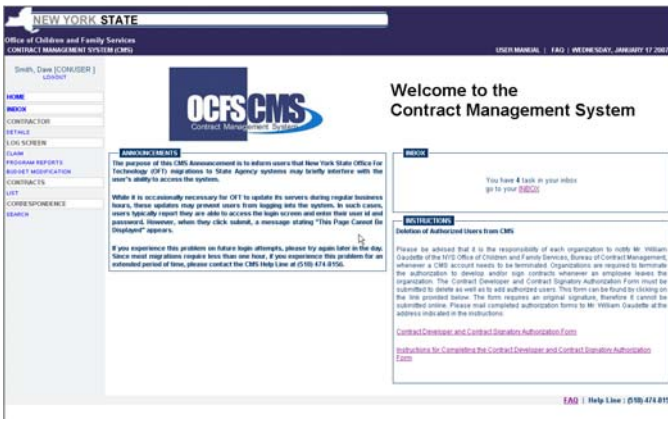
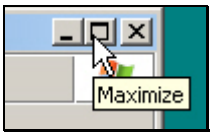
Logging out of the Contract Management System

✓ Before you begin: You should already be logged into CMS.

What You Do	*Comments/Prompts*
Click the **LOGOUT** link at the top of the CMS Main Menu, located on the upper left side of the page.	
You are logged out of the system.	**Note**: If you see a pop-up window asking if you are certain you wish to close the window, click the correct response.

Logging Into the Contract Management System

What You Do	*Comments/Prompts*
From your desktop, open **Internet Explorer**. In the Internet Explorer address bar, type the address: **https://ocfsws.ocfs.state.ny.us/cms**	
The **CMS Main Login** page will be displayed. Enter your CMS username and password.	

What You Do	*Comments/Prompts*
The system may take a few moments to access your account and verify your privileges. Once you have logged in successfully, the Contract Management System home page appears.	
If the page does not fill up your screen, click the **Maximize** button in the upper right corner of your window to view the full page.	

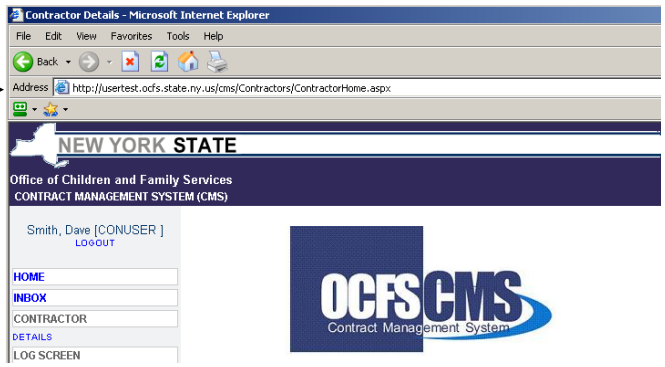
Shortcuts and Favorites

Shortcuts and Favorites allow you to access a web page or other location without having to remember the address, or type the URL into a browser window. You can set up a shortcut to CMS on your desktop, or add it as a Favorite within your browser.

Adding a Shortcut to CMS to your Desktop

You might find it helpful to place a shortcut on your desktop. A shortcut is an icon on your desktop that will allow you to access the system without typing an address in the Internet Explorer address bar, although you will still need to log in to the system.

✓ Before you begin: You are logged in to CMS and are at the home page.

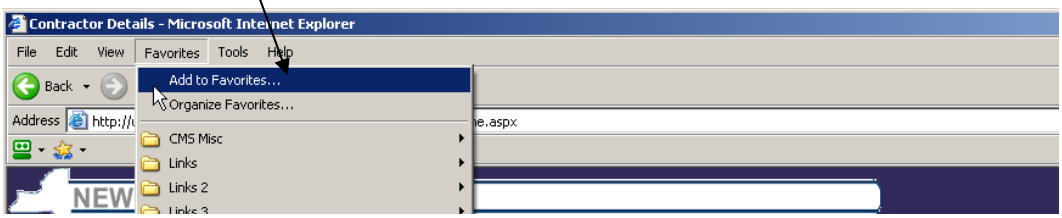
What You Do	*Comments/Prompts*
Resize the CMS home page so that part of your desktop is visible. Use the Restore Down button in the upper right corner, or simply move the window so you can see part of your desktop.	
Click and hold down the small graphic to the left of the URL in the Address bar. Drag it to your desktop and release it.	
A shortcut will appear on your desktop. You may accept the default name, or assign whatever name you like to it.	

Adding CMS to your Favorites

You may find it helpful to place CMS in your Internet browser Favorites listing. A Favorite allows you to pick a site from a list and display it without having to remember the web address and type it each time. You will still need to log in to the system. This example uses Microsoft Internet Explorer 6.0.

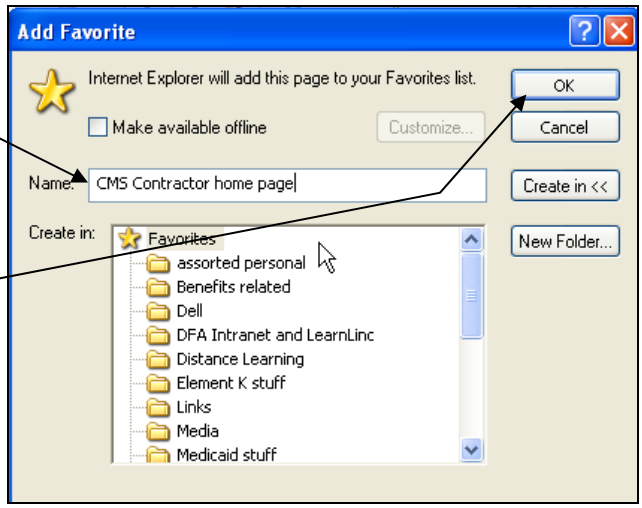
✓ Before you begin: Log into CMS. You are viewing the Home Page via your Internet browser.

What You Do	*Comments/Prompts*
From your Internet browser toolbar, click **Favorites→Add to Favorites…**	



The **Add Favorite** window appears. You may use the default **Name** or type in whatever **Name** you wish to use for the Favorite entry. You may also organize your Favorite entry into folders you already have on your computer.

Click **OK**.



The entry is added to your Favorites list.

Setting Your Internet Explorer Settings: Pop-Up Blocker

The CMS system uses pop-up windows for many of the functions a Contractor performs. Therefore it is important that the setting for your browser's pop-up blocker be configured to allow pop-up windows from the CMS system.

If your web browser includes a pop-up blocker, please make sure that it is either disabled when you are viewing CMS, or you set it to always allow pop-ups from CMS. There are multiple ways of disabling a pop-up blocker, depending on your computer system. For example, in Internet Explorer 6.0, you can use the **Tools** menu to locate the **Pop-up Blocker** entry and turn it off.

C H A P T E R 3

Navigating the System

Topics

a Understanding the parts of the CMS Home Page

b Navigating to the Inbox and understanding the information displayed there

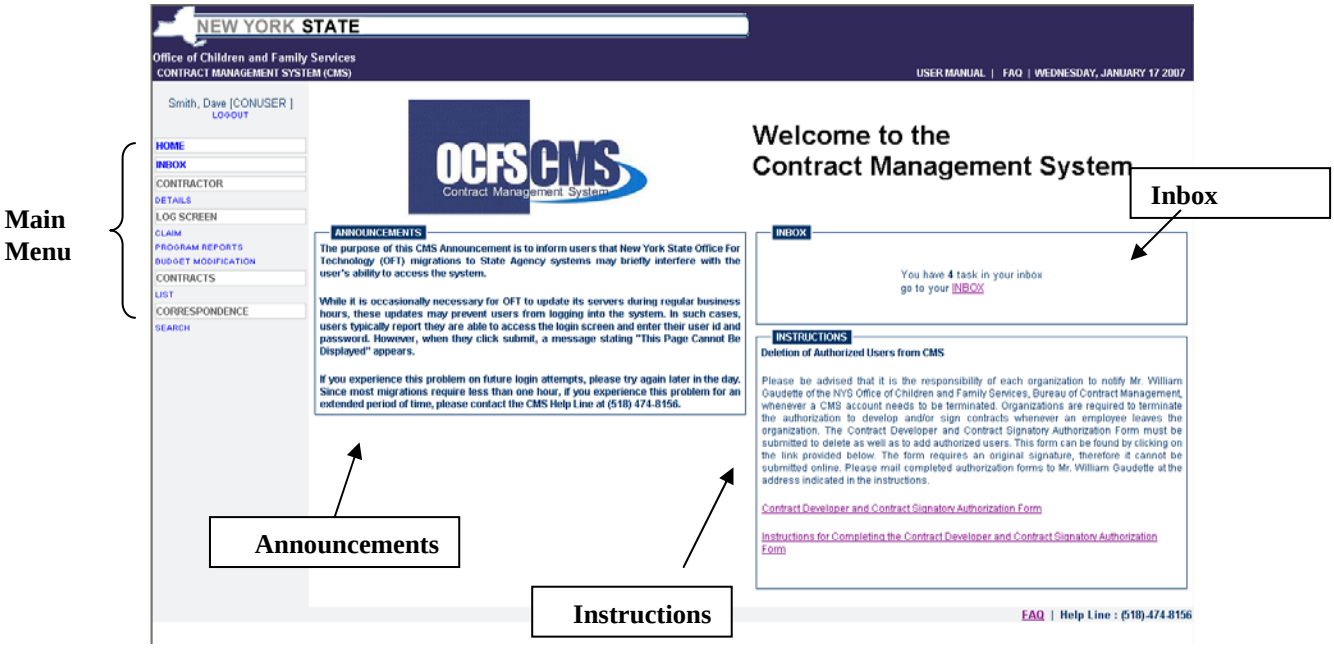
c Using the CMS Main Menu

Navigating the System

CMS Home Page

Immediately after logging into CMS your browser will display the CMS Home Page.

The Home Page consists of various sections that enable Contractors to view information and take actions regarding different aspects of their contracts. What information is available and what actions can be taken is also dependent on the role of the user and the contract's current stage of processing.

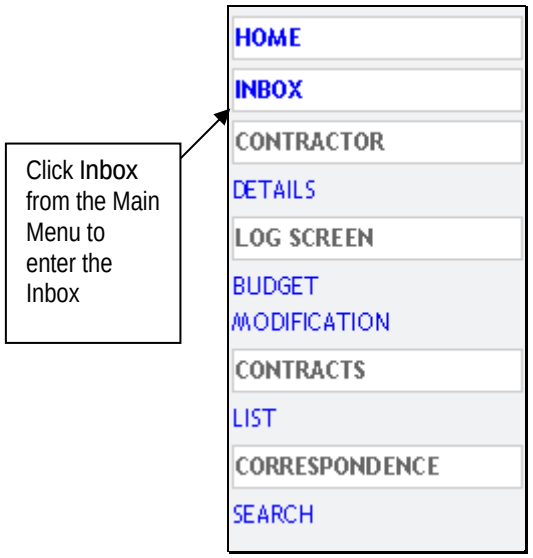

NEW YORK STATE
Office of Children and Family Services
CONTRACT MANAGEMENT SYSTEM (CMS)
USER MANUAL | FAQ | WEDNESDAY, JANUARY 17 2007
Smith, Dave [CONUSER]
LOGOUT
HOME
INBOX
CONTRACTOR
DETAILS
LOG SCREEN
CLAIM
PROGRAM REPORTS
BUDGET MODIFICATION
CONTRACTS
LIST
CORRESPONDENCE
SEARCH
OCFS CMS
Contract Management System
Welcome to the
Contract Management System
ANNOUNCEMENTS
The purpose of this CMS Announcement is to inform users that New York State Office For Technology (OFT) migrations to State Agency systems may briefly interfere with the user's ability to access the system.
While it is occasionally necessary for OFT to update its servers during regular business hours, these updates may prevent users from logging into the system. In such cases, users typically report they are able to access the login screen and enter their user id and password. However, when they click submit, a message stating "This Page Cannot Be Displayed" appears.
If you experience this problem on future login attempts, please try again later in the day. Since most migrations require less than one hour, if you experience this problem for an extended period of time, please contact the CMS Help Line at (518) 474-8156.
INBOX
You have 4 task in your inbox
go to your INBOX
INSTRUCTIONS
Deletion of Authorized Users from CMS
Please be advised that it is the responsibility of each organization to notify Mr. William Gaudette of the NYS Office of Children and Family Services, Bureau of Contract Management, whenever a CMS account needs to be terminated. Organizations are required to terminate the authorization to develop and/or sign contracts whenever an employee leaves the organization. The Contract Developer and Contract Signatory Authorization Form must be submitted to delete as well as to add authorized users. This form can be found by clicking on the link provided below. The form requires an original signature, therefore it cannot be submitted online. Please mail completed authorization forms to Mr. William Gaudette at the address indicated in the instructions.
Contract Developer and Contract Signatory Authorization Form
Instructions for Completing the Contract Developer and Contract Signatory Authorization Form
FAQ | Help Line : (518)-474-8156
Main Menu
Inbox
Announcements
Instructions

The **Main Menu** is the main navigation method within CMS system. The **Announcements** and **Instructions** sections should be viewed each time you log in to the system to check for broad but relevant information from OCFS to all CMS users. The **Inbox** section tells you if you have any pending tasks awaiting your attention.

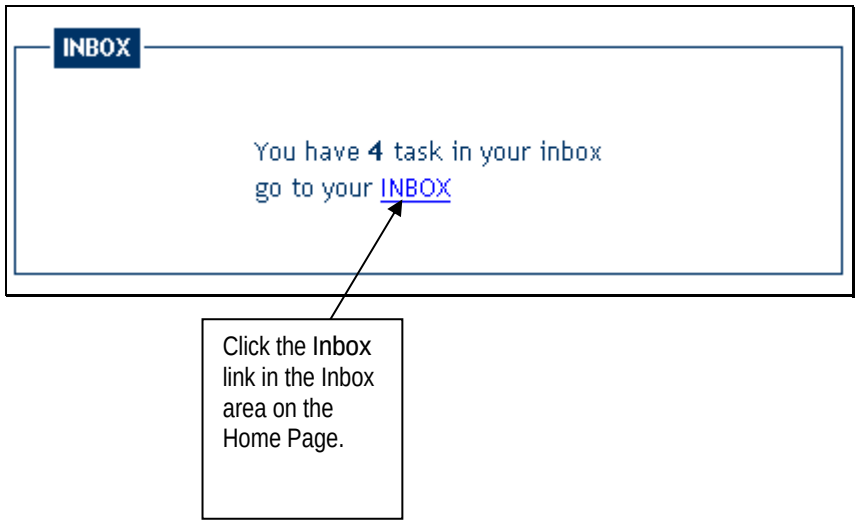
Introduction to the Inbox

The Inbox is where you will go to access the functions associated with successfully completing contract documents and processing additional contract information and tasks. There are two ways to access the Inbox: 1) from the Main Menu; or 2) by using the Inbox link within the Inbox area. The Inbox area also advises the user if there are items awaiting action.

Main Menu

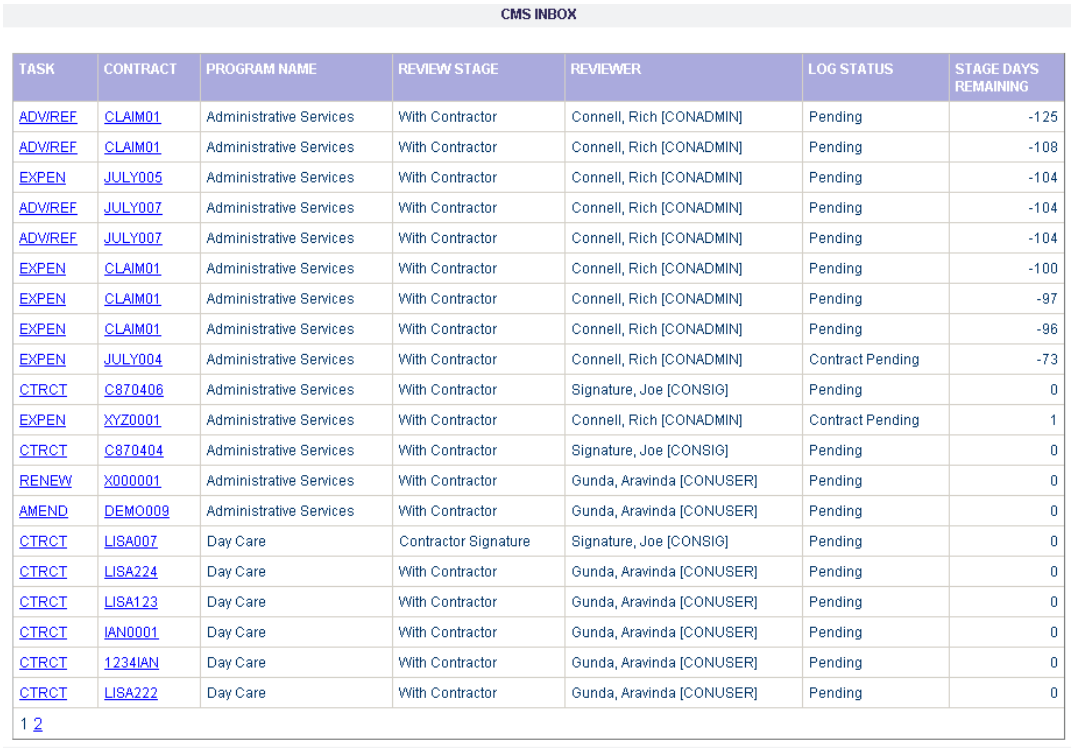


Inbox Area



Each time a new item for action is available in your Inbox you will receive a notification via email. This notification will be discussed further in the next chapter.

After selecting one of the two above options the CMS Inbox screen will open. If you have items awaiting action they will be displayed, listing the type of task, contract, review stage, reviewer, status and days remaining at that stage. Tasks are listed by type, for example **CTRCT** for contract and **BUDMD** for a Budget Modification.



CMS INBOX

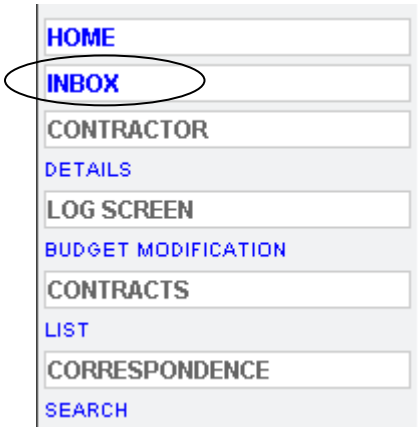
TASK	CONTRACT	PROGRAM NAME	REVIEW STAGE	REVIEWER	LOG STATUS	STAGE DAYS REMAINING
ADVREF	CLAIM01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-125
ADVREF	CLAIM01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-108
EXPEN	JULY005	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-104
ADVREF	JULY007	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-104
ADVREF	JULY007	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-104
EXPEN	CLAIM01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-100
EXPEN	CLAIM01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-97
EXPEN	CLAIM01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-96
EXPEN	JULY004	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Contract Pending	-73
CTRCT	C870406	Administrative Services	With Contractor	Signature, Joe [CONSIG]	Pending	0
EXPEN	XYZ0001	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Contract Pending	1
CTRCT	C870404	Administrative Services	With Contractor	Signature, Joe [CONSIG]	Pending	0
RENEW	X000001	Administrative Services	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
AMEND	DEMO009	Administrative Services	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	LISA007	Day Care	Contractor Signature	Signature, Joe [CONSIG]	Pending	0
CTRCT	LISA224	Day Care	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	LISA123	Day Care	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	IAN0001	Day Care	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	1234IAN	Day Care	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	LISA222	Day Care	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0

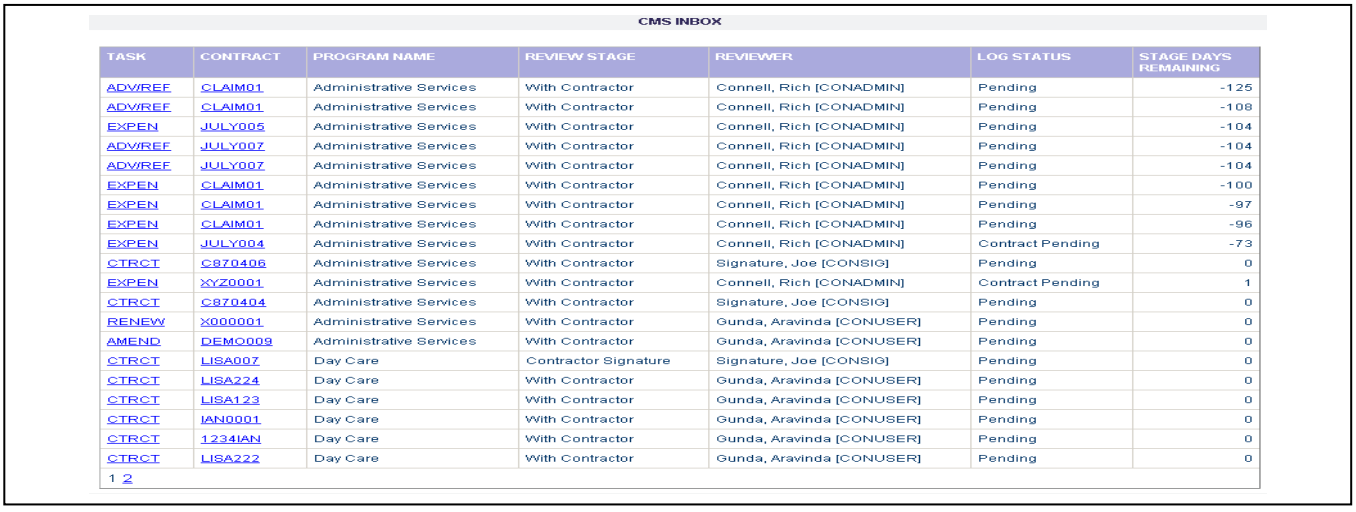
1 2

Tasks that need action by anyone in your organization will be listed in the Inbox. The person and their role that is needed to work on each task is listed in the Reviewer column. If you have more than one page of tasks, page numbers will display at the bottom of the list that will jump to different pages when selected.

Opening the CMS Inbox

✓ Before you begin: Log into CMS. You are viewing the CMS Home Page.

What You Do	*Comments/Prompts*
Select **Inbox** from the CMS Main Menu.	
The CMS Inbox is displayed along with items needing action.	Different types of Tasks are listed. The **Contract** link displays the **Contract Details** page, while the **Task** link takes you to a **Contract Review** or **Budget Modification** page. 4 5), each one representing a different page available for view. You would click the number to move to that page.



CMS INBOX

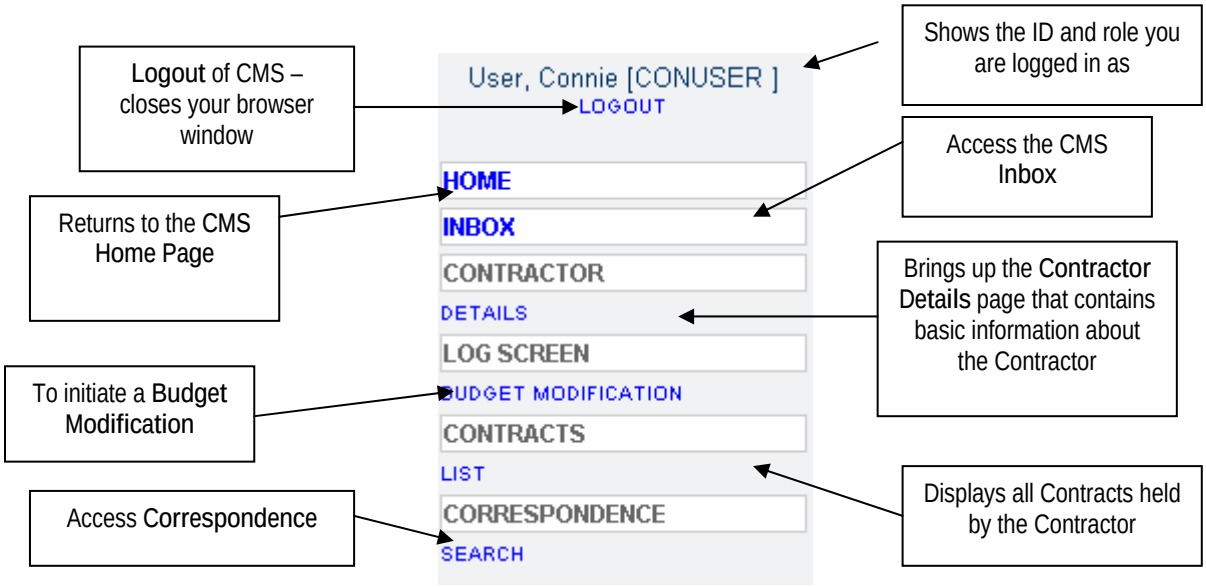
TASK	CONTRACT	PROGRAM NAME	REVIEW STAGE	REVIEWER	LOG STATUS	STAGE DAYS REMAINING
ADVREF	CLAIM01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-125
ADVREF	CLAIM01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-108
EXPEN	JULY005	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-104
ADVREF	JULY007	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-104
ADVREF	JULY007	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-104
EXPEN	CLAIM01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-100
EXPEN	CLAIM01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-97
EXPEN	CLAIM01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	-96
EXPEN	JULY004	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Contract Pending	-73
CTRCT	C870406	Administrative Services	With Contractor	Signature, Joe [CONSIG]	Pending	0
EXPEN	XYZ0001	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Contract Pending	1
CTRCT	C870404	Administrative Services	With Contractor	Signature, Joe [CONSIG]	Pending	0
RENEW	X000001	Administrative Services	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
AMEND	DEMO009	Administrative Services	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	LISA007	Day Care	Contractor Signature	Signature, Joe [CONSIG]	Pending	0
CTRCT	LISA224	Day Care	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	LISA123	Day Care	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	IAN0001	Day Care	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	1234IAN	Day Care	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	LISA222	Day Care	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0

1 2

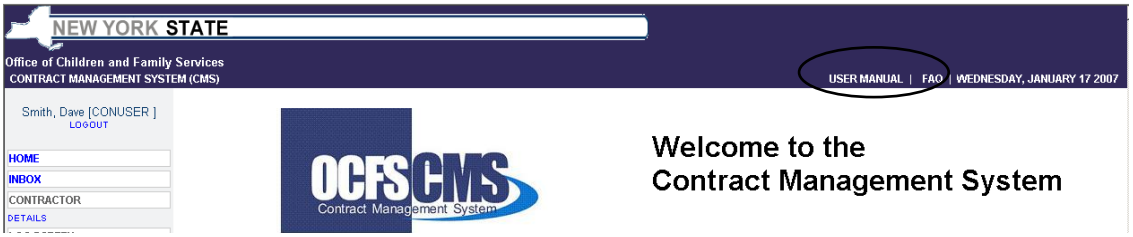
The number located at the bottom left side of the page indicates that there are two pages of information to view.	The Inbox entry displayed in the manual is an *example* of what you might see at a given time in the Inbox. The contents of the Inbox depend on what items need to be processed.

CMS Main Menu

In addition to the Inbox there are other items available to users via the Home Page.

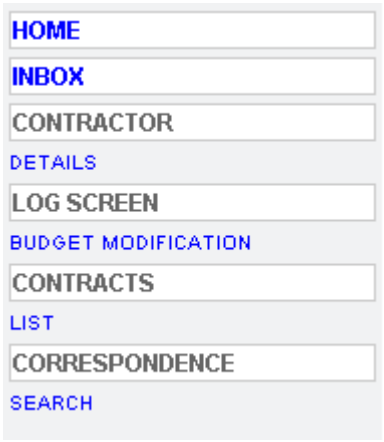
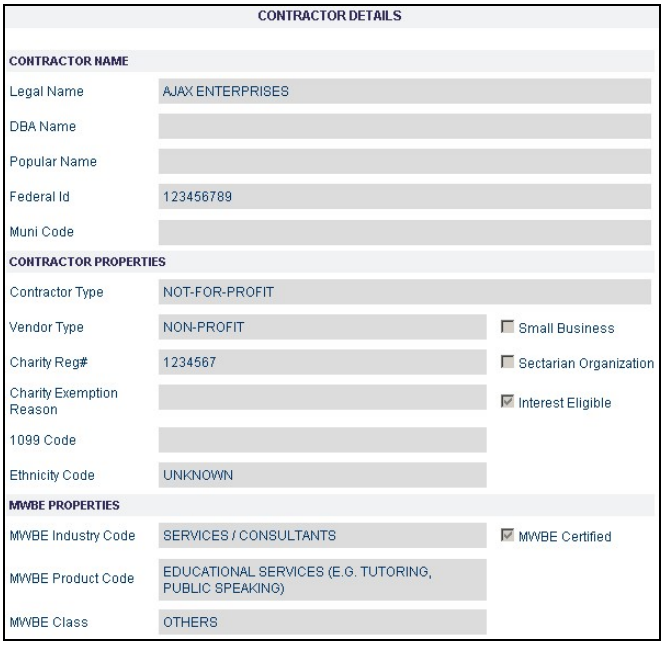


At the top of the screen are links to the User Manual (this document) and the FAQ (Frequently Asked Questions and their answers).



Selecting a Link from the Main Menu

✓ Before you begin: Log into CMS. You should be at the CMS Home Page.

What You Do	*Comments/Prompts*
Select **Details** under **CONTRACTOR** on the CMS Main Menu.	
The **CONTRACTOR DETAILS** page is displayed with basic information about the contractor. **NOTE:** You can only view this page. You cannot modify it. Contact your OCFS Program Manager if you have any concerns about the information displayed on this page.	
Select **Home** from the CMS Main Menu to return to the CMS Home Page.	

C H A P T E R 4

Communication within CMS: Alerts, Notifications and Correspondence

Topics

a Email Notification and Alerts

b Searching for and Viewing Correspondence

c Replying to Correspondence

d Initiating Correspondence

Chapter 4: Communication within CMS

Overview >

The Correspondence function within CMS allows you to communicate with the program management staff. Questions, comments, and/or concerns about the contract sent through Correspondence are documented and archived in the CMS system.

Communication within CMS occurs through three methods:

- **Alerts**, which take the form of email, notifying you that there is a contract-related task to perform that you should access through your Inbox;
- **Notifications**, also in the form of email, which tell you that you have CMS Correspondence to retrieve from inside the system; and
- **Correspondence,** the internal CMS mail system.

Correspondence can be specific to a contract or a specific stage or task within CMS.

The Correspondence functionality also allows for the transfer of documents. For example, if a document you had previously uploaded via the Contract Review Module screen (covered in Chapter 5) needed to be returned for further completion and/or editing, this would be done via Correspondence – the Program or OCFS staff person would create correspondence to the Contractor, attaching the document or file that needs additional revision.

It is important to note that Correspondence is stored and viewed within CMS. It is not sent to your email system; what arrives at your email system is a notification that you have Correspondence to retrieve and respond to within CMS.

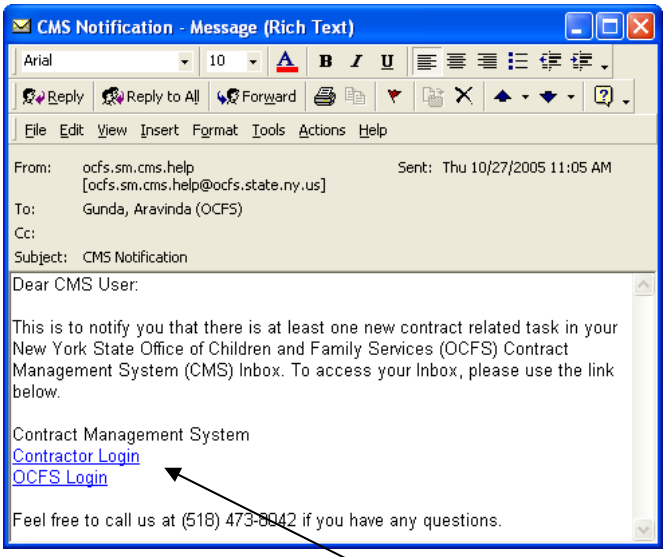
Email Notifications and Alerts

Concepts >

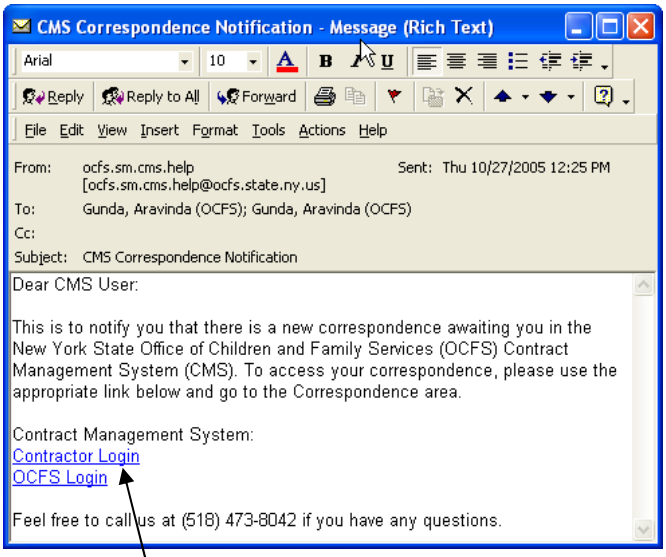
Each time there is something for a Contractor to do in CMS, be it review Correspondence or respond to an item in the Inbox, an email is sent to you, the Contractor. The message notifies you that you need to log into CMS to take action, such as view the Correspondence and respond accordingly or do a task in CMS such as provide budget information for a contract renewal.

Examples of what these emails look like are provided below. To access the item that is referenced in the email, the user will click the appropriate Login link from the message. This will open up a browser window, where the user will log in to CMS.

Task Notification (Alert)


CMS Notification - Message (Rich Text)
Arial
10
Reply
Reply to All
Forward
File Edit View Insert Format Tools Actions Help
From: ocfs.sm.cms.help [ocfs.sm.cms.help@ocfs.state.ny.us]
Sent: Thu 10/27/2005 11:05 AM
To: Gunda, Aravinda (OCFS)
Cc:
Subject: CMS Notification
Dear CMS User:
This is to notify you that there is at least one new contract related task in your New York State Office of Children and Family Services (OCFS) Contract Management System (CMS) Inbox. To access your Inbox, please use the link below.
Contract Management System
Contractor Login
OCFS Login
Feel free to call us at (518) 473-8042 if you have any questions.

Correspondence Notification


CMS Correspondence Notification - Message (Rich Text)
Arial
10
Reply
Reply to All
Forward
File Edit View Insert Format Tools Actions Help
From: ocfs.sm.cms.help [ocfs.sm.cms.help@ocfs.state.ny.us]
Sent: Thu 10/27/2005 12:25 PM
To: Gunda, Aravinda (OCFS); Gunda, Aravinda (OCFS)
Cc:
Subject: CMS Correspondence Notification
Dear CMS User:
This is to notify you that there is a new correspondence awaiting you in the New York State Office of Children and Family Services (OCFS) Contract Management System (CMS). To access your correspondence, please use the appropriate link below and go to the Correspondence area.
Contract Management System:
Contractor Login
OCFS Login
Feel free to call us at (518) 473-8042 if you have any questions.

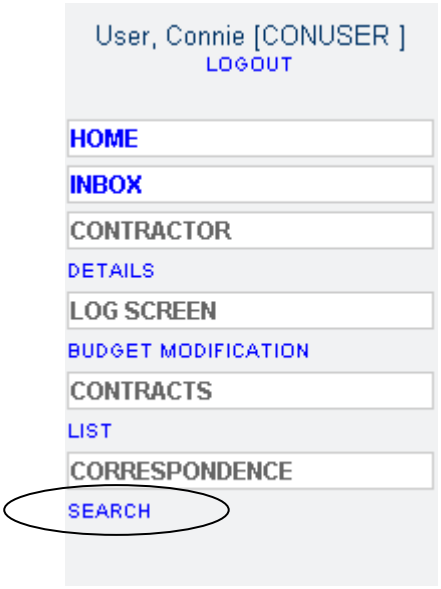
Click the **Contractor Login** link to log in to CMS and access the item waiting for you. Do not use the OCFS Login link if you are a Contractor.

Viewing Correspondence

Concepts > Whether you have received notification or not, it is good practice to check for Correspondence each time you log in to CMS, especially if you are intending to perform a task, such as submit a Budget Modification or process information for an new Contract, Amendment or Renewal. You retrieve Correspondence through the **Correspondence Search** page**,** accessed from the main menu.

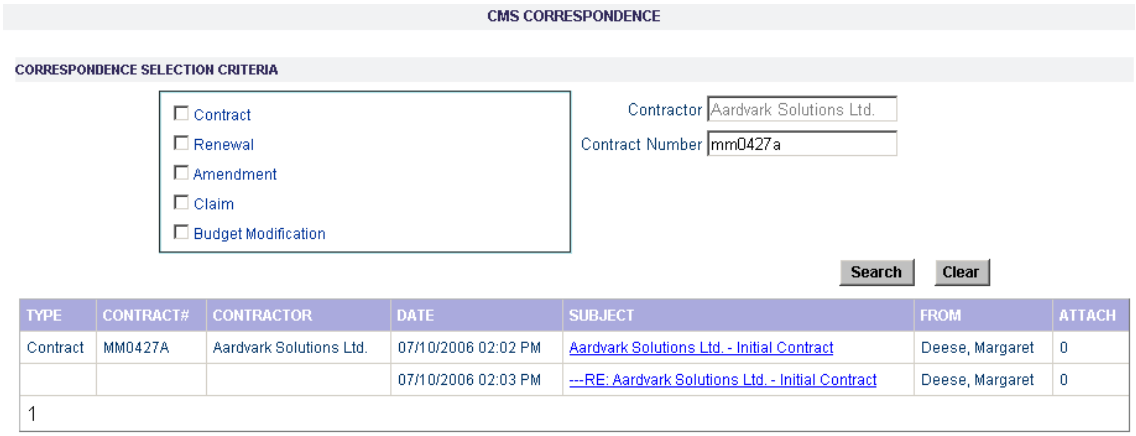
Retrieving Correspondence – Searching and Viewing

✓ Before you begin: Log into CMS.

What You Do	*Comments/Prompts*
From the main menu, click the **SEARCH** link under the CORRESPONDENCE heading.	
The **CMS Correspondence** page is displayed. The **Contractor** field is automatically populated with the name of your organization.	Notice the **Selection Criteria** and the **Contract Number**. The Selection Criteria allow you to search for correspondence relating to specific CMS tasks (such as a Renewal). If you have multiple contracts on CMS, you may also wish to narrow your search by Contract Number.
Click the **Search** button.	

The **CMS Correspondence** page is redisplayed, with a table indicating the Correspondence that matches your selection criteria.

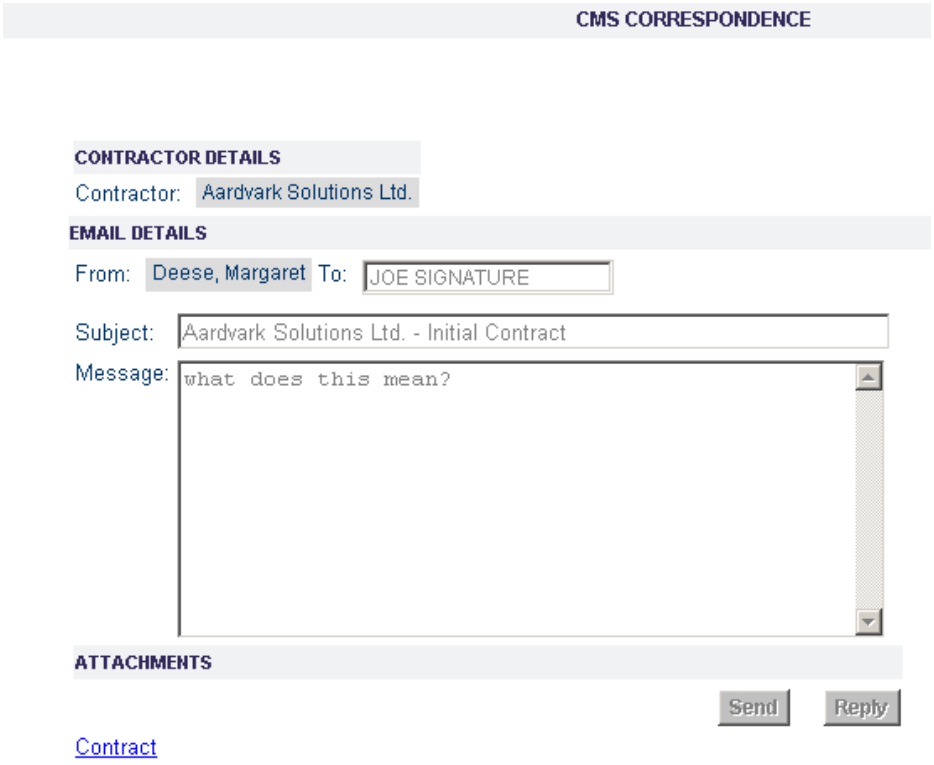
Notice the different columns in the table. Some of these fields are similar to email headings. The Type column provides information about the type of correspondence. The number in the **Attach** column indicates the number of attachments in the message.



Click the **Subject** link for the Correspondence item that you wish to review.

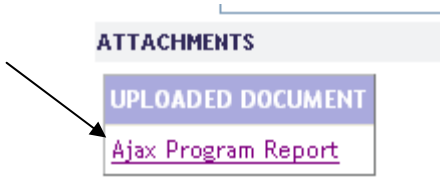
The CMS Correspondence page displays the message that was sent to you.

You can read the message, but you cannot edit it or any of the other fields on the page.



At this point, you can click the Reply button to answer the message; use the CMS Main Menu on the left side of your window to continue working; or retrieve any Attachments by clicking the file name link under the Uploaded Document section and saving the file to your computer.

Note: If the Correspondence contains an attachment, click the document link. The file will be downloaded to you as a .pdf file—attachments are converted to .pdf format when they are uploaded to Correspondence. Depending on the settings for your computer and your network, you may receive a warning about file safety. Remember, the file comes from a safe source—CMS. Follow the instructions that appear and open or save the file accordingly.

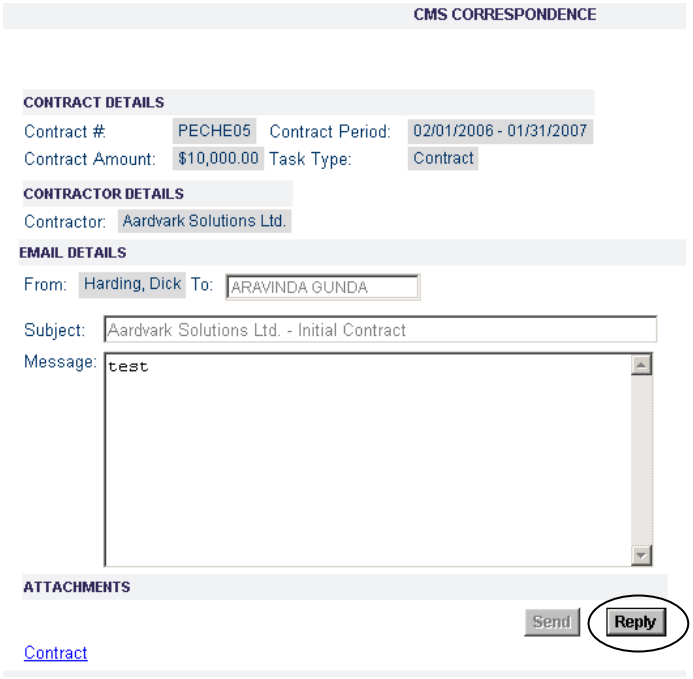


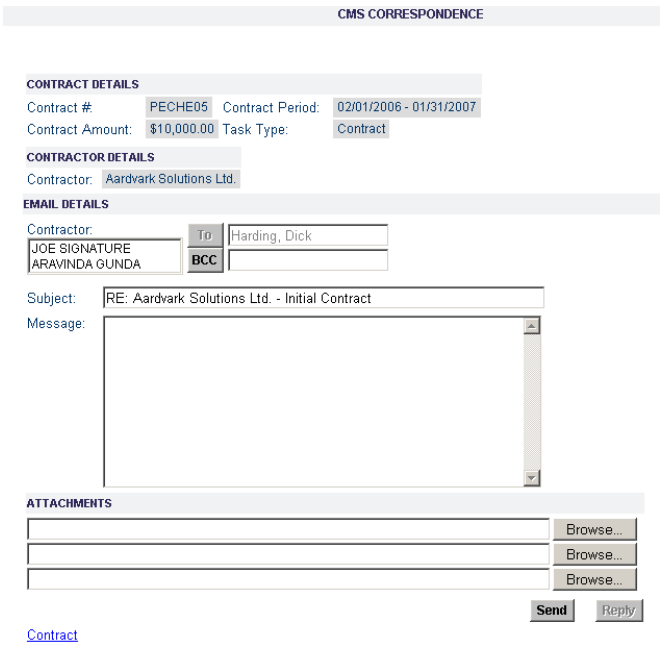
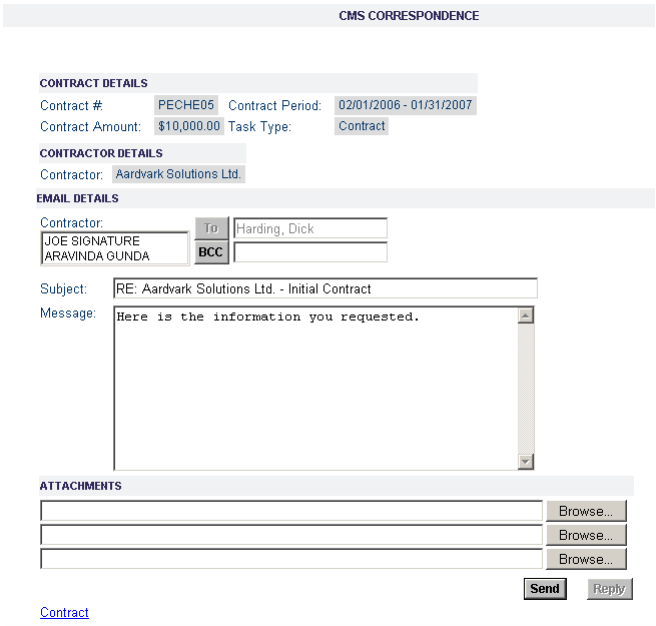
Replying to Correspondence

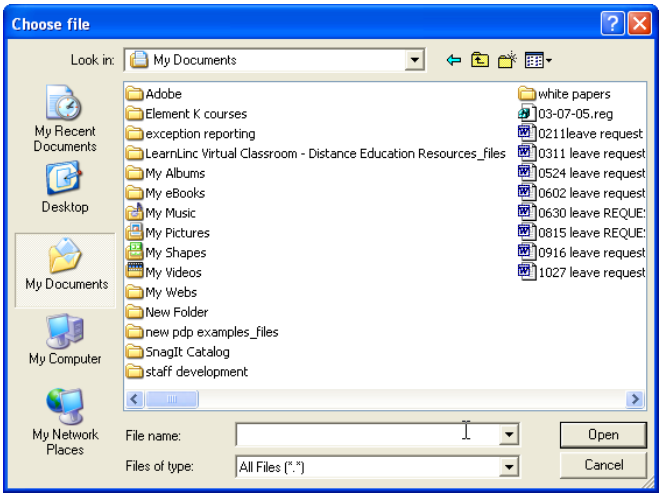
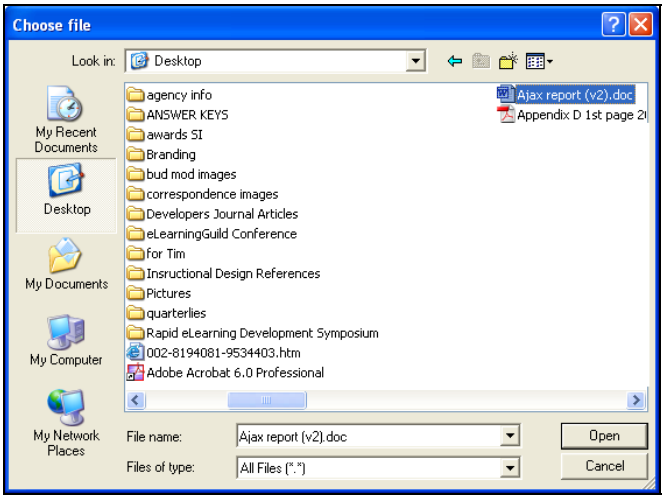
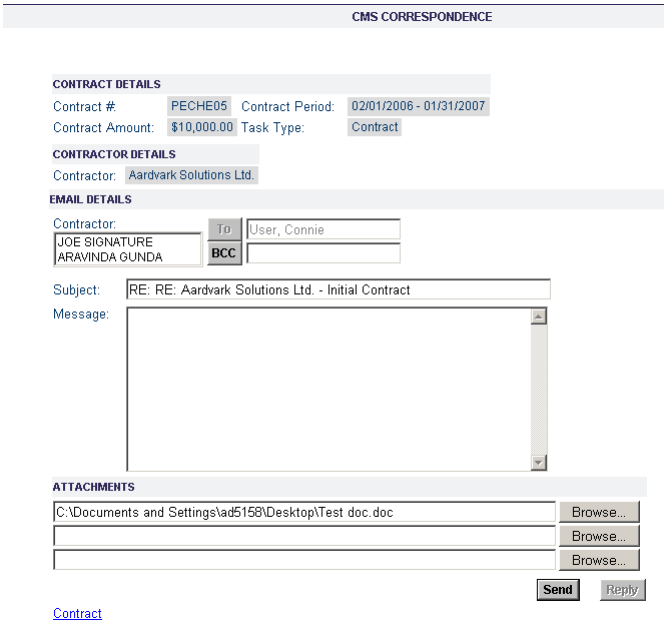
Concepts > When you open a Correspondence within CMS, you may send a reply to the person who sent you the Correspondence and copy the message to other people, much as you can do with your own email system. Use the Reply button located at the bottom of the Correspondence page.

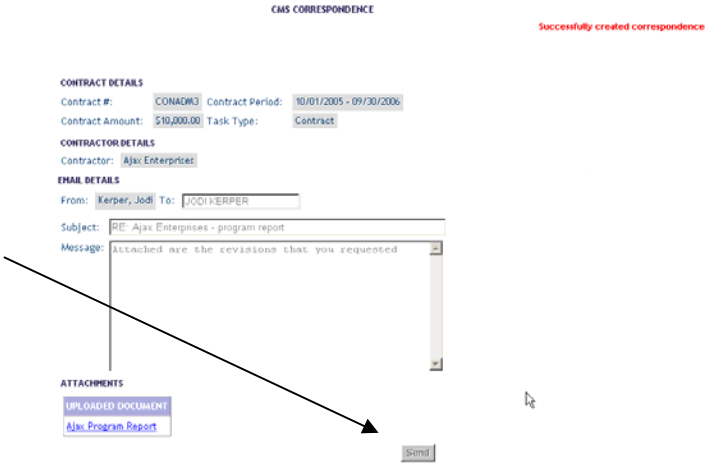
Replying to Correspondence

✓ Before you begin: Log into CMS. Locate and open an item of Correspondence.

What You Do	*Comments/Prompts*
Click the **Reply** button at the bottom of the page.	

What You Do	Comments/Prompts
The CMS Correspondence page is refreshed. Just as in regular email, the Reply is automatically addressed to the person who sent the Correspondence to you.The **Subject** line is automatically populated with the original Subject text, and prefixed with RE:. You may send a blind carbon copy (BCC) to colleagues who work for your organization. If available, their names will appear in the Contractor list box. Select the person's name and click the **BCC** button. **Note**: To select multiple persons, select the first name, then click the **Shift** key and select the next name. Type your message in the **Message** box. If you want to include an attachment, click the **Browse** button. Otherwise, click the **Send** button to proceed.	 

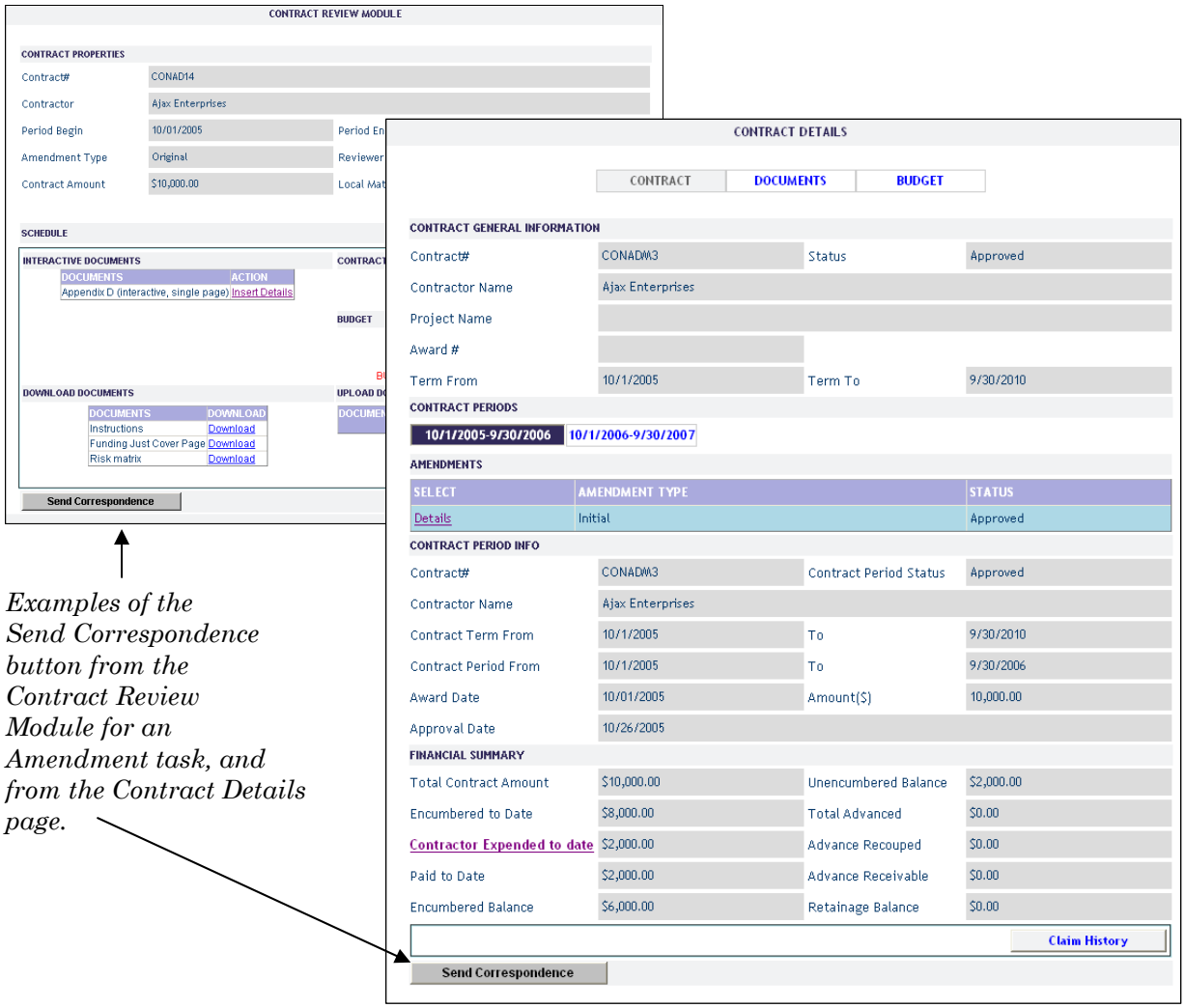
What You Do	Comments/Prompts
To add an attachment to your message, click the **Browse** button. The Windows **Choose File** dialog box opens. Navigate to the desired location on your computer or network (as you would when sending an attachment from Outlook, for example).	
Make sure the file name is in the **File name:** box. Click the **Open** button.	
The **Choose File** window disappears and you can see the CMS Correspondence page again. Notice that the file you attached is now listed under the Attachments section. Click the **Send** button to send the reply. **Note**: While the Correspondence is being sent, you may see a status message at the lower right sid e of the page: **Processing please wait**.	

What You Do	Comments/Prompts
When the Reply is successfully sent, you will see a status message at the top of the page. Notice that the **Send** button is now disabled. Use the CMS main menu to perform additional work within the system. **Note**: If the message cannot be successfully sent, you will see an error message in red at the top of the page (where the "success" message is currently displayed.) Try to resend the message. If you are still unsuccessful, contact your Program Manager.	

Initiating Correspondence

Concepts >

There are two main ways of initiating Correspondence through CMS as a Contractor: from the work page for a task you are performing (such as a Budget Modification, Amendment, Renewal, Contract Approval, etc., accessed through the Inbox), or from the Contract Details page (accessible through the Contract List, to be discussed in Chapter 6.) In both cases, the procedure for launching the process is the same—clicking the **Send Correspondence** button located on the page.



Examples of the Send Correspondence button from the Contract Review Module for an Amendment task, and from the Contract Details page.

Locating the Send Correspondence button through the Inbox (for sending Correspondence associated with a specific task and review schedule)

✓ Before you begin: Log into CMS. Open the Inbox.

What You Do	*Comments/Prompts*
Click the **Task** link for the desired **Inbox** task.	

CMS INBOX

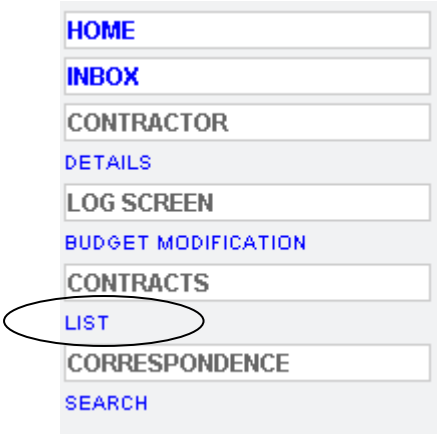
TASK	CONTRACT	PROGRAM NAME	REVIEW STAGE	REVIEWER	LOG STATUS	STAGE DAYS REMAINING
CTRCT	X000011	Administrative Services	Contractor Signature	Signature, Joe [CONSIG]	Pending	-68
CTRCT	MMMMMM6	Administrative Services	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
CTRCT	APRIL01	Administrative Services	With Contractor	Connell, Rich [CONADMIN]	Pending	0
CTRCT	JULY010	Administrative Services	Contractor Signature	Signature, Joe [CONSIG]	Pending	0
CTRCT	BILL123	Administrative Services	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
AMEND	MM0607A	Administrative Services	With Contractor	Gunda, Aravinda [CONUSER]	Pending	0
AMEND	QQQQQ01	Administrative Services	Contractor Signature	Signature, Joe [CONSIG]	Pending	0
RENEW	MM0426A	Administrative Services	Contractor Signature	Signature, Joe [CONSIG]	Pending	-181

The work page, in this case the **Contract Review Module**, opens. Click the **Send Correspondence** button at the bottom of the page to begin the process of sending Correspondence.

.

Locating the Send Correspondence button through the Contract List (for sending Correspondence that is not associated with a review schedule or task in progress)

✓ Before you begin: Log into CMS.

What You Do	*Comments/Prompts*
Click the **List** link located under the Contracts heading in the menu.	

The Contract Search page displays the list of contracts associated your organization.

Click the Contract # link for the Contract that you wish to send Correspondence about.

CONTRACT SEARCH

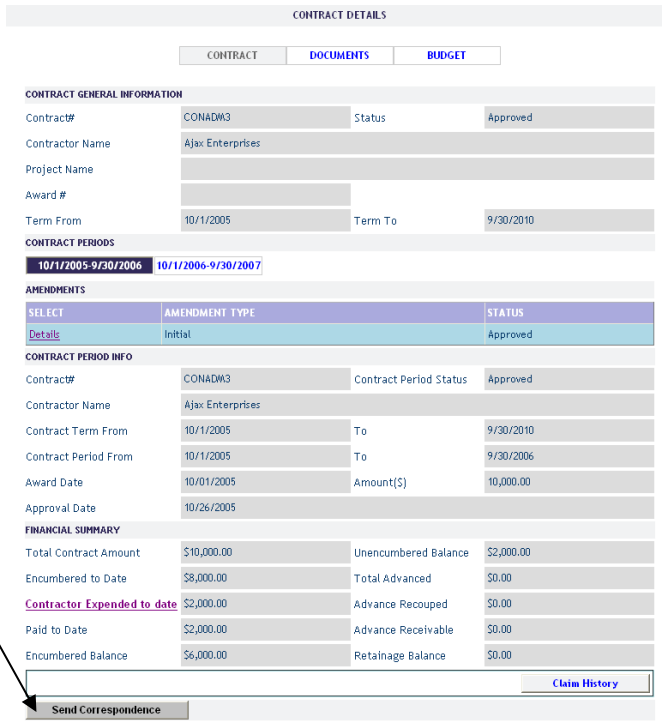
CONTRACT #	CONTRACTOR	AWARD #	PROJECT NAME	FED ID/MUNI CODE	AMOUNT	CONTRACT TERM	STATUS
CONADM1	Ajax Enterprises			123456789	$10,000.00	10/01/2005 - 09/30/2010	In Process
CONADM2	Ajax Enterprises			123456789	$10,000.00	10/01/2005 - 09/30/2010	In Process
CONADM3	Ajax Enterprises			123456789	$10,000.00	10/01/2005 - 09/30/2010	In Process

What You Do

The Contract Details page is displayed. Scroll down to the bottom of the page, if necessary, and locate the Send Correspondence button.

Click the **Send Correspondence** button.

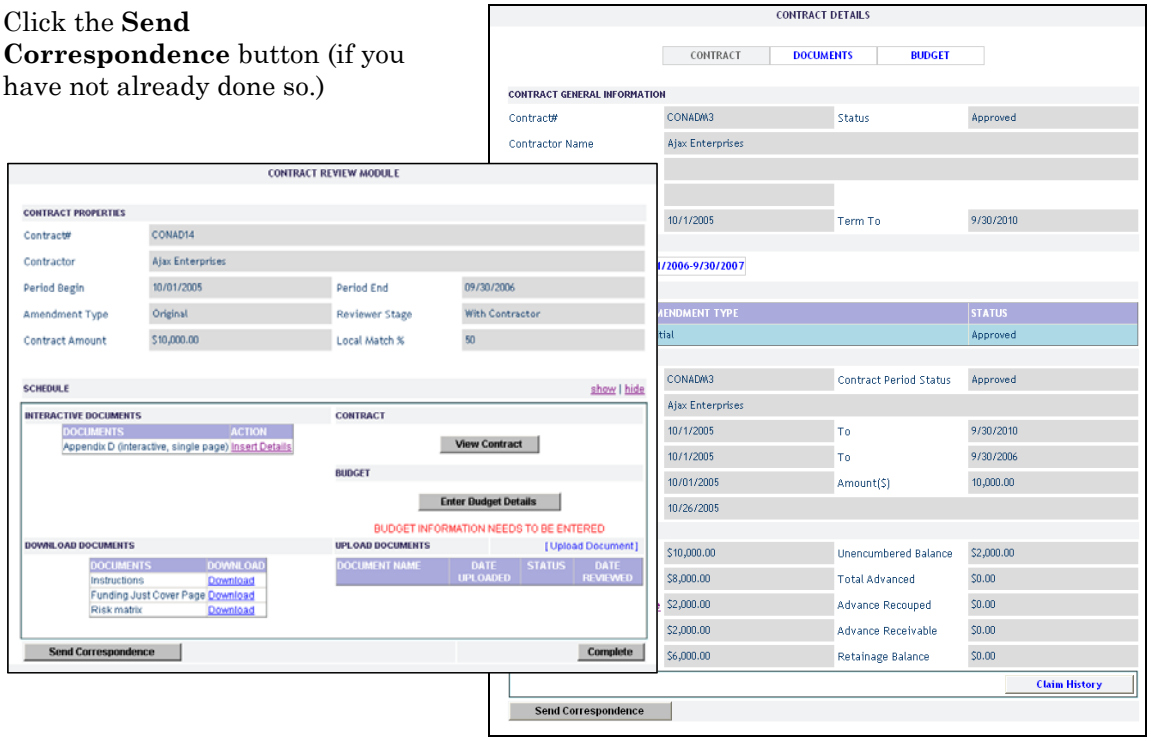
Comments/Prompts

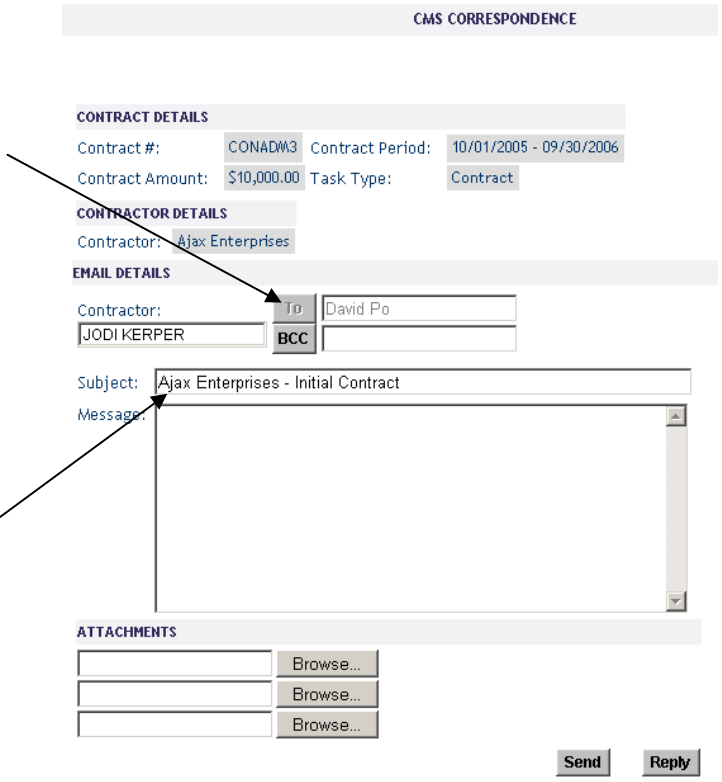


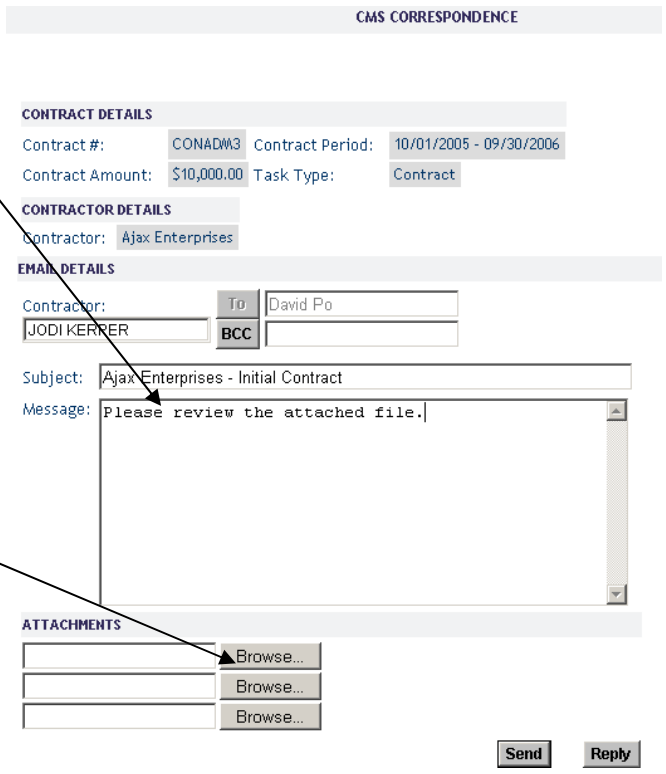
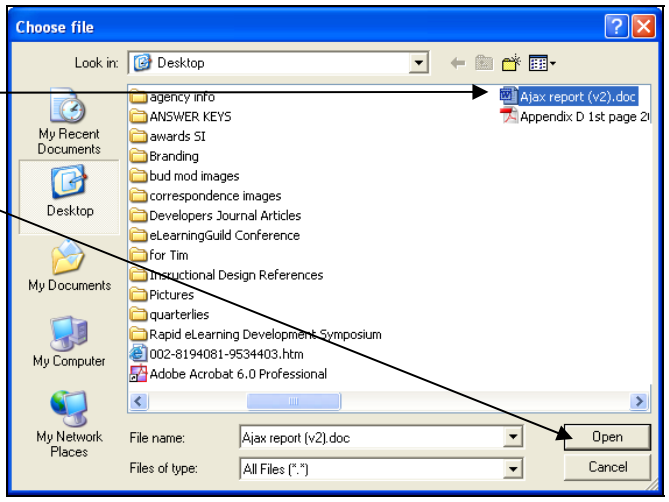
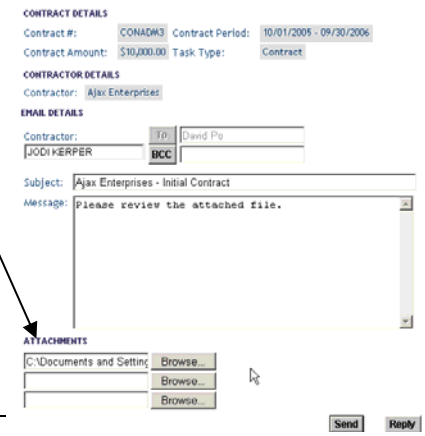
Sending Correspondence

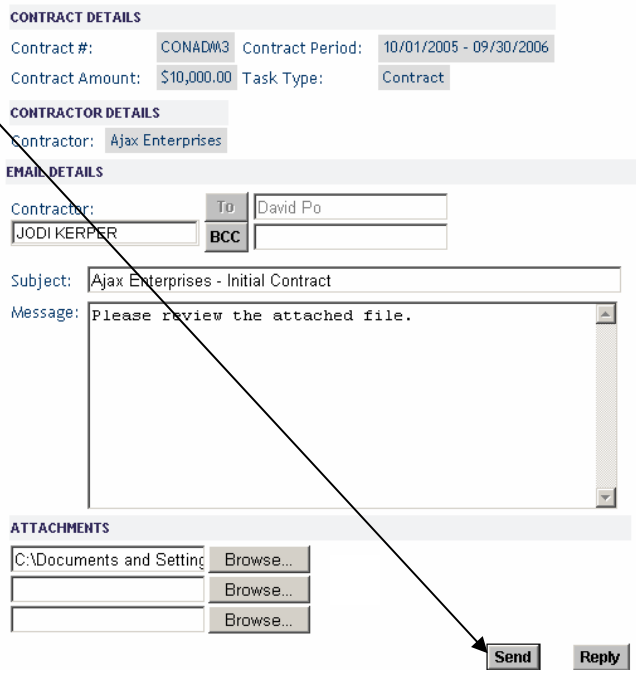
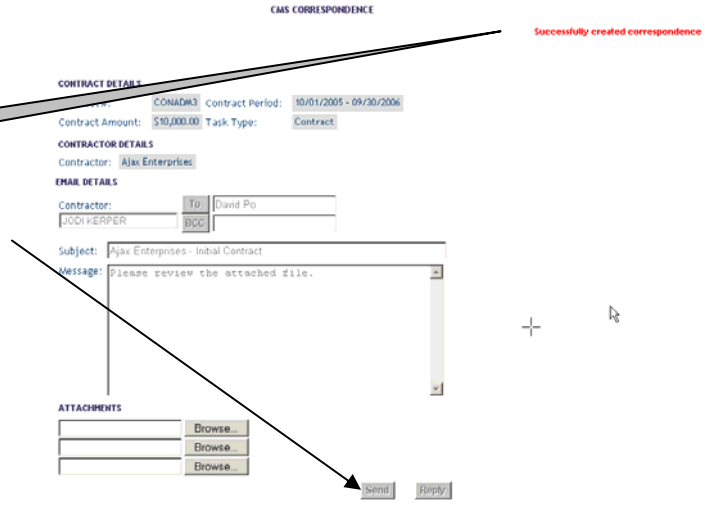
✓ Before you begin: Log into CMS, and locate a page with a Send Correspondence button, via the procedures described in tasks D-1 and D-2.
Note: The process of *sending* Correspondence is very similar to that of *replying* to Correspondence.

What You Do	*Comments/Prompts*
Click the **Send Correspondence** button (if you have not already done so.)	



What You Do	*Comments/Prompts*
The CMS Correspondence page appears. Note the elements on the page. The **To**: field is automatically filled with the name of your OCFS Program Manager. The names of other Contractor colleagues that are also involved in contract review in CMS may appear in the Contractor list box. You can send them a blind carbon copy by selecting the name and clicking the **BCC:** button. Notice that the **Subject:** text box is pre-filled for you, based on task you might be doing. You may use the default Subject line, or type in your own text.	

What You Do	*Comments/Prompts*
Type the text of the Correspondence in the **Message:** text box. **Note:** As with other message fields in the system, the backspace function is disabled. You will need to move your cursor to move backward in the text, or select the text and use the Delete key to delete it.	
Including Attachments: a) If you wish to include a file as an attachment, click the **Browse…** button. Note that you may send up to three attachments with the message.	
b) The Windows **Choose file** dialog window appears. Locate the file you wish to send and select it. (Make sure the file name appears in the **File name:** box. Click the **Open** button.	
c) The **Choose file** window disappears. Notice that the file you selected is now listed as an attachment.	

What You Do	*Comments/Prompts*
Click the **Send** button. **Note**: Any attached documents are converted to .pdf documents at this time. **Note**: After you click the Send button, you may see a message at the bottom of the page, indicating that the system is "processing: the Correspondence.	
When the Correspondence is successfully sent, you will see a status message at the top of the page. **Successfully created correspondence** Notice that the **Send** button is now disabled. Use the CMS main menu to perform additional work within the system. **Note**: If the message cannot be successfully sent, you will see an error message in red at the top of the page (where the "success" message is currently displayed.) You may wish to try resending the message. If you continue to have problems, contact your Program Manager.	

CHAPTER 5

Working with Contract Tasks

Topics

a Managing Tasks from the Inbox

b Using the Contract Review Module

Chapter 5: Working with Contract Tasks

Managing Tasks from the Inbox

Concepts >

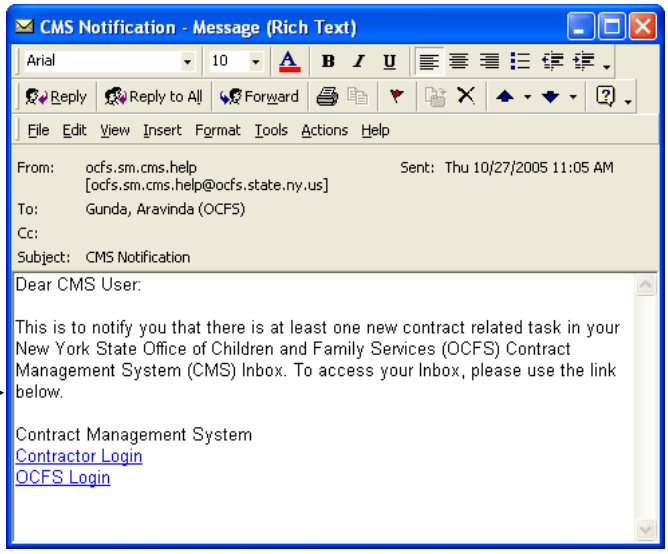
When a contract task is in progress and needs to be worked on by a Contractor or OCFS staff person the person accesses the task through the CMS Inbox. Virtually every task you need to perform on the system will begin by going through the Inbox. These tasks include:

- Accessing the contract package as part of the contract approval process, including documents and budget
- Signing the contract (performed by a user performing the CONSIG role)
- Reviewing or revising the budget and related information for a contract amendment
- Reviewing the documents and budget for a renewal in progress
- Providing information for a budget modification request that has previously been logged (see Chapter 6).

In addition, you can also access information about contracts that have tasks in progress directly from the Inbox.

Anytime an item arrives in your Inbox, you will receive an email notification. As mentioned earlier, the CMS Inbox is not the same as your email Inbox. Inbox tasks are stored on CMS. When a task arrives in your CMS Inbox, CMS will send an email to your outside email system, notifying you that there is work to do within CMS. This process was described in *Chapter 4, Communication within CMS*.

Example of CMS Email Notification →


CMS Notification - Message (Rich Text)
Arial
10
Reply
Reply to All
Forward
File Edit View Insert Format Tools Actions Help
From: ocfs.sm.cms.help [ocfs.sm.cms.help@ocfs.state.ny.us]
Sent: Thu 10/27/2005 11:05 AM
To: Gunda, Aravinda (OCFS)
Cc:
Subject: CMS Notification
Dear CMS User:
This is to notify you that there is at least one new contract related task in your New York State Office of Children and Family Services (OCFS) Contract Management System (CMS) Inbox. To access your Inbox, please use the link below.
Contract Management System
Contractor Login
OCFS Login

You may reach the CMS Inbox by clicking the Contractor Login link from the CMS Notification email. This will open a browser window, taking you to the CMS Login page. Once you login, you will be automatically directed to the Inbox, without having to perform any navigation.

You may also wish to access the CMS Inbox at other times, even if you have not received an email notification. For example, you may be currently working in the system, and you want to see if there are any tasks that have just arrived for you to perform. More likely, you may have started a process from another section of the system (such as logging in a budget modification) that may require you to go back to the Inbox to perform additional work on the task (like entering budget modification data.)

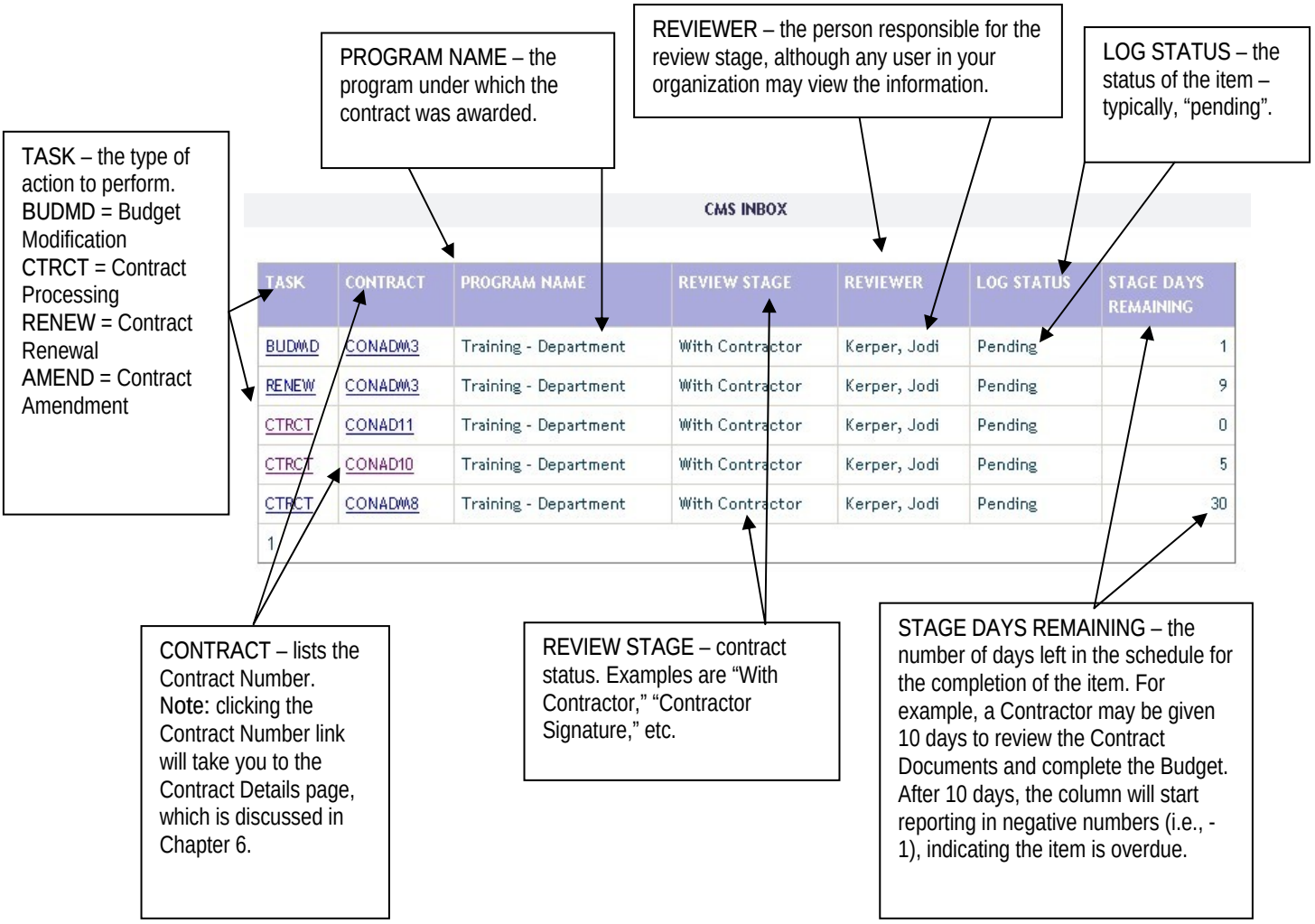
All persons within a Contractor organization share the CMS Inbox. For example, if you and a colleague both have access to CMS and are associated with a particular contract, you will be able to see all tasks related to that contract within the CMS Inbox. Even if you are not the person directly assigned to perform the task (such as providing budget details during the "With Contractor" stage of a Contract task), you can see the item within your CMS Inbox. Additionally, if you play the same role within the system as your colleague, such as Contractor User, you may perform actions and process the item within CMS on your co-worker's behalf. This allows colleagues to help each other out.

Accessing the Inbox

✓ Before you begin: Log into CMS.

What You Do	*Comments/Prompts*
From the main menu, click the **INBOX** link.	

What You Do	*Comments/Prompts*
The**CMS Inbox** page appears.	Notice the column headings. They indicate which tasks are in progress, and on which contracts, and which of your colleagues is responsible for taking the appropriate action. They also indicate the deadline for performing the task.


PROGRAM NAME – the program under which the contract was awarded.
REVIEWER – the person responsible for the review stage, although any user in your organization may view the information.
LOG STATUS – the status of the item – typically, "pending".
TASK – the type of action to perform.
BUDMD = Budget Modification
CTRCT = Contract Processing
RENEW = Contract Renewal
AMEND = Contract Amendment
CMS INBOX
TASK
CONTRACT
PROGRAM NAME
REVIEW STAGE
REVIEWER
LOG STATUS
STAGE DAYS REMAINING
BUDMD CONADM3 Training - Department With Contractor Kerper, Jodi Pending 1
RENEW CONADM3 Training - Department With Contractor Kerper, Jodi Pending 9
CTRCT CONAD11 Training - Department With Contractor Kerper, Jodi Pending 0
CTRCT CONAD10 Training - Department With Contractor Kerper, Jodi Pending 5
CTRCT CONADM8 Training - Department With Contractor Kerper, Jodi Pending 30
1
CONTRACT – lists the Contract Number.
Note: clicking the Contract Number link will take you to the Contract Details page, which is discussed in Chapter 6.
REVIEW STAGE – contract status. Examples are "With Contractor," "Contractor Signature," etc.
STAGE DAYS REMAINING – the number of days left in the schedule for the completion of the item. For example, a Contractor may be given 10 days to review the Contract Documents and complete the Budget. After 10 days, the column will start reporting in negative numbers (i.e., -1), indicating the item is overdue.

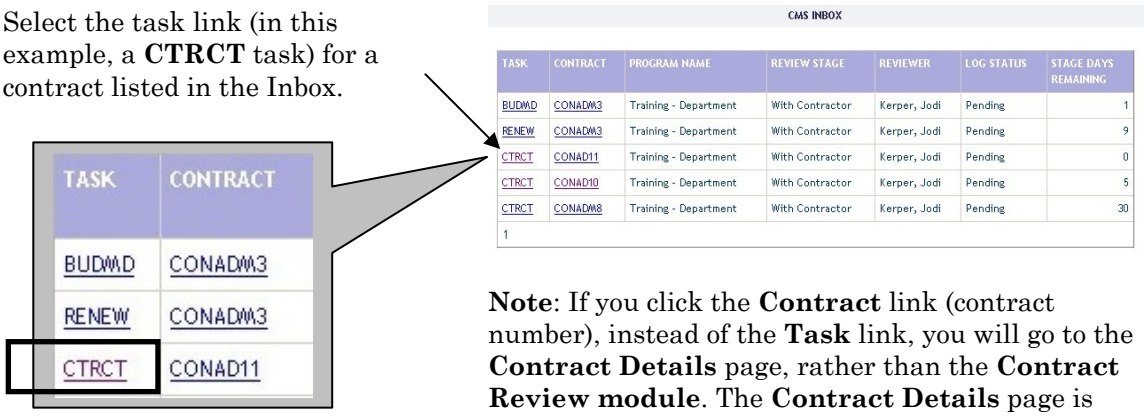
Using the Contract Review Module

Concepts > Most if not all of a Contractor's activity within CMS will be performed from the Contract Review Module, accessible through the Inbox. With the exception of Budget Modifications, the remaining online contractor tasks (Contract, Renewal, and Amendment) are performed on the **Contract Review Module** page. To navigate to the Contract Review Module from the Inbox, click the **Task** item (CTRCT, RENEW, or AMEND.).

Accessing the Contract Review Module Page via the Inbox

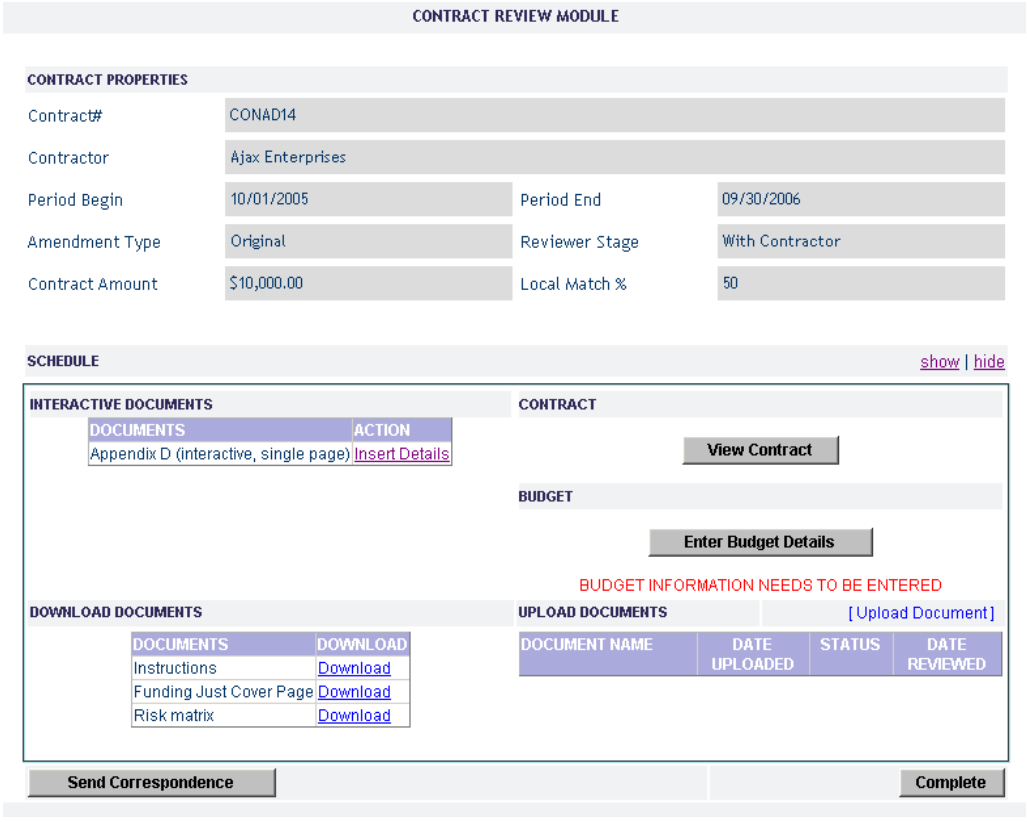
✓ Before you begin: Log into CMS. Open the Inbox.

What You Do	*Comments/Prompts*
Select the task link (in this example, a **CTRCT** task) for a contract listed in the Inbox.	


CMS INBOX
TASK
CONTRACT
PROGRAM NAME
REVIEW STAGE
REVIEWER
LOG STATUS
STAGE DAYS REMAINING
BUDWD CONADW3 Training - Department With Contractor Kerper, Jodi Pending 1
RENEW CONADW3 Training - Department With Contractor Kerper, Jodi Pending 9
CTRCT CONAD11 Training - Department With Contractor Kerper, Jodi Pending 0
CTRCT CONAD10 Training - Department With Contractor Kerper, Jodi Pending 5
CTRCT CONADW8 Training - Department With Contractor Kerper, Jodi Pending 30
1
TASK
CONTRACT
BUDWD CONADW3
RENEW CONADW3
CTRCT CONAD11

Note: If you click the **Contract** link (contract number), instead of the **Task** link, you will go to the **Contract Details** page, rather than the **Contract Review module**. The **Contract Details** page is discussed in Chapter 6.

The **Contract Review Module** page is displayed.	Notice the different sections of the window. We will review these elements.



Understanding the Contract Review Module

The Contract Review Module page has multiple components, each representing items that need to be completed by the contractor in order to fully process a contract, renewal, or amendment. Although we will mainly discuss a contract that is undergoing its approval process in the training class, it is important that you understand the page that you see on the screen and its elements, as well as the approval process, is basically the same for new contracts as well as contracts undergoing renewals or amendments. If you know how to work with the Contract Review Module for a new contract, you will know how to work with it for other Inbox tasks that open to this page when selected.

Note: The **Send Correspondence** button should be familiar to you from the previous lesson.

Note: The names of the appropriate links or buttons to take action for each section is listed in parentheses next to the name of the section.

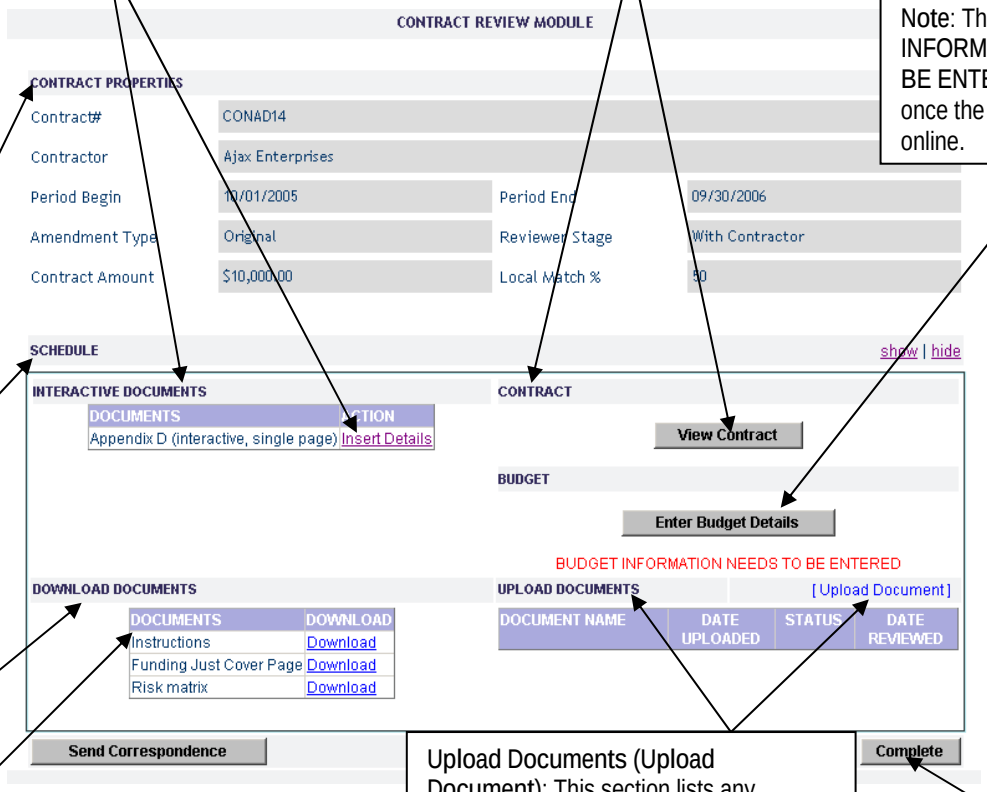
Interactive Documents (Insert Details): These documents open as interactive Adobe .pdf files. The user completes the document online and saves changes via a Submit button located within the document. The completed document is added to the contract document package.

Contract (View Contract): The View Contract button opens the official contract document package in .pdf format, allowing you to view the contract document package.

Budget (Enter Budget Details): The Enter Budget Details button opens the budget for your contract online. You will enter the amounts for the various lines of the budget, including any matching funds, and submit the budget through the interactive Adobe .pdf file. Note: The message BUDGET INFORMATION NEEDS TO BE ENTERED will disappear once the budget is submitted online.

Contract Properties: This section provides background information about the contract, the contract period, and the reviewer stage.

Schedule: Displays the review stages for the contract (click the show link).



Download Documents (Download): These files should be saved to the Contractor's computer or network and completed offline. Revise the documents, then submit them for approval using the Upload Documents section. Note the *Instructions* document. Each contract will have an entry specific to that contract. This should be the first item you open when you go to the Contract Review Module for the first time. The document will provide you with instructions on processing the contract.

Upload Documents (Upload Document): This section lists any documents for the contract that you have saved to CMS via the Upload Document link. Clicking the Upload Document link allows you to upload additional documents. For example, once you complete the documents you downloaded in the Download Documents section, you will then click the Upload Document link to submit them to OCFS for approval.

Complete: When all the required actions have been completed, click the Complete button to send the task (i.e., contract) off to the next person for review – typically, a Program person. The task is removed from your Inbox.

Use the following tasks to learn how to complete the sections discussed above.

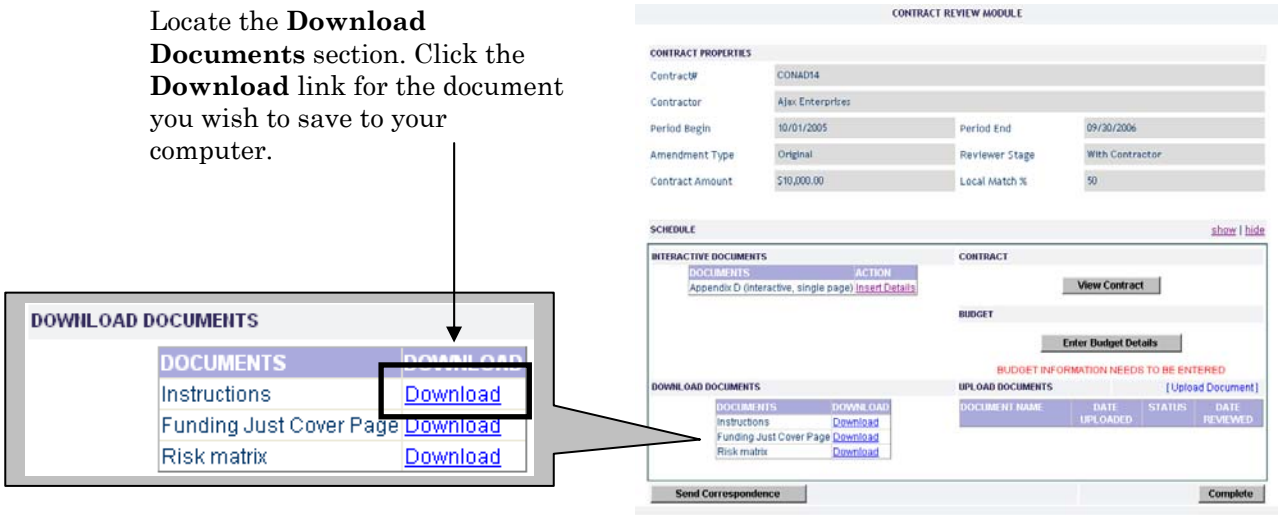
Downloading Documents

Rather than faxing, emailing, or sending documents through surface mail, CMS allows users to transmit documents back and forth electronically through the system. Documents can be retrieved by you through the Download Documents section of the Contract Review Module page. These documents may be informational, as in the case of the Instructions document, or they may be files that should be completed by you offline, and uploaded to CMS. Typically, when you access the Contract Review Module for the first time for a given task, you will download the Instructions document first, so that you may review it for directions issued by your Program Manager regarding the contract.

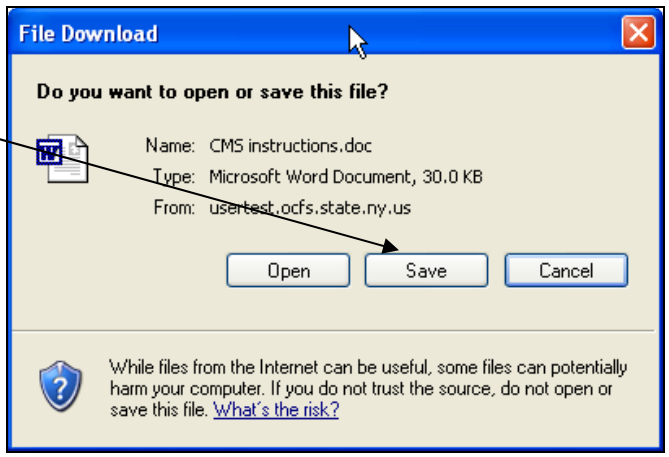
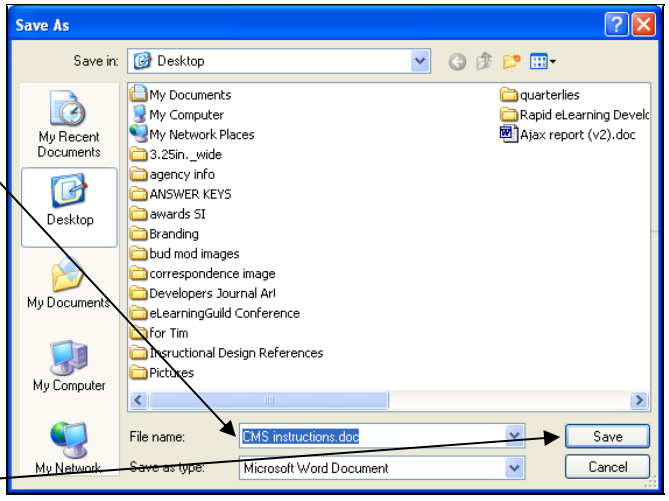
The download process within CMS functions the same way as it does for many different applications that function in a Windows environment. You will click the download link for the appropriate document and a window will appear on your screen, asking you where you should save the file. You will select a location, either somewhere on your computer or a network drive, and the file will automatically be stored in that location.

Downloading Documents – Saving Files to Your Computer

✓ Before you begin: Log into CMS. You should be viewing the Contract Review Module page.

What You Do	*Comments/Prompts*
Locate the **Download Documents** section. Click the **Download** link for the document you wish to save to your computer.	

Note: As indicated earlier, the ***Instructions*** document will be available for each online contract and should be immediately downloaded and reviewed after opening the **Contract Review Module** page for the first time for a contract.

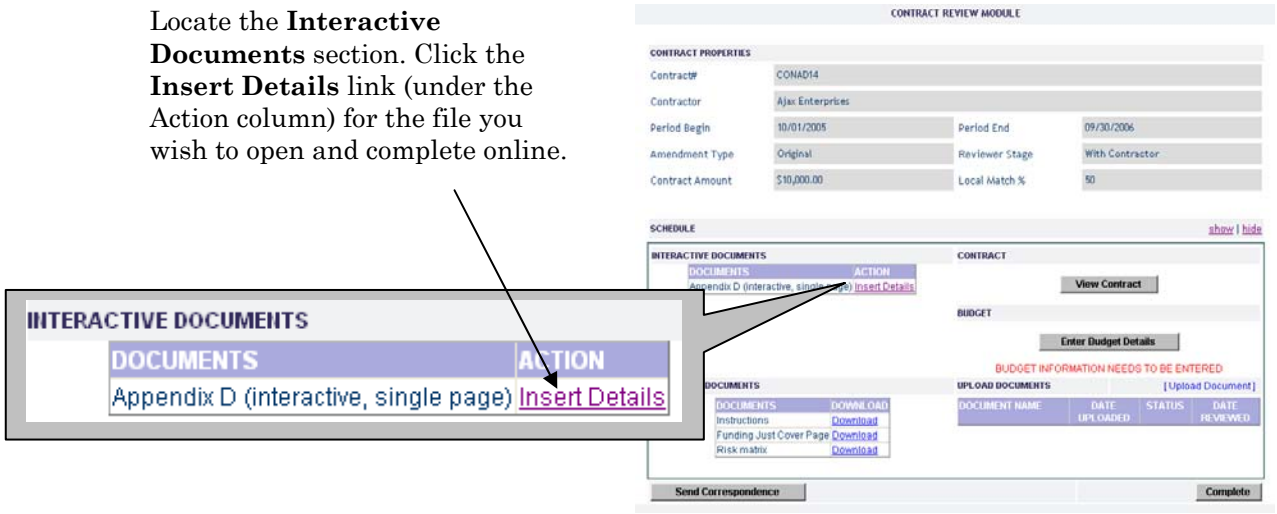
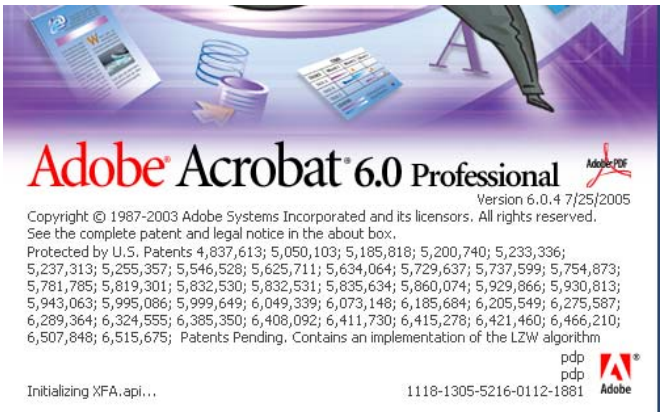
What You Do	*Comments/Prompts*
The **File Download** window opens on the screen. Click the **Save** button. **Note**: The window may display a warning, reminding you that the file is being transferred to your computer, and you should be certain the file is from a safe source (which it is.)	
The **Windows Save As** dialog box opens. Notice that the **File name** is automatically provided for you. Navigate to the location where you wish to save the file. **Note**: For training purposes, please save the file on the **Desktop**. Click the **Save** button.	
The file is saved to your computer, and the **Save As** window is closed.	

Accessing and Completing an Interactive Document

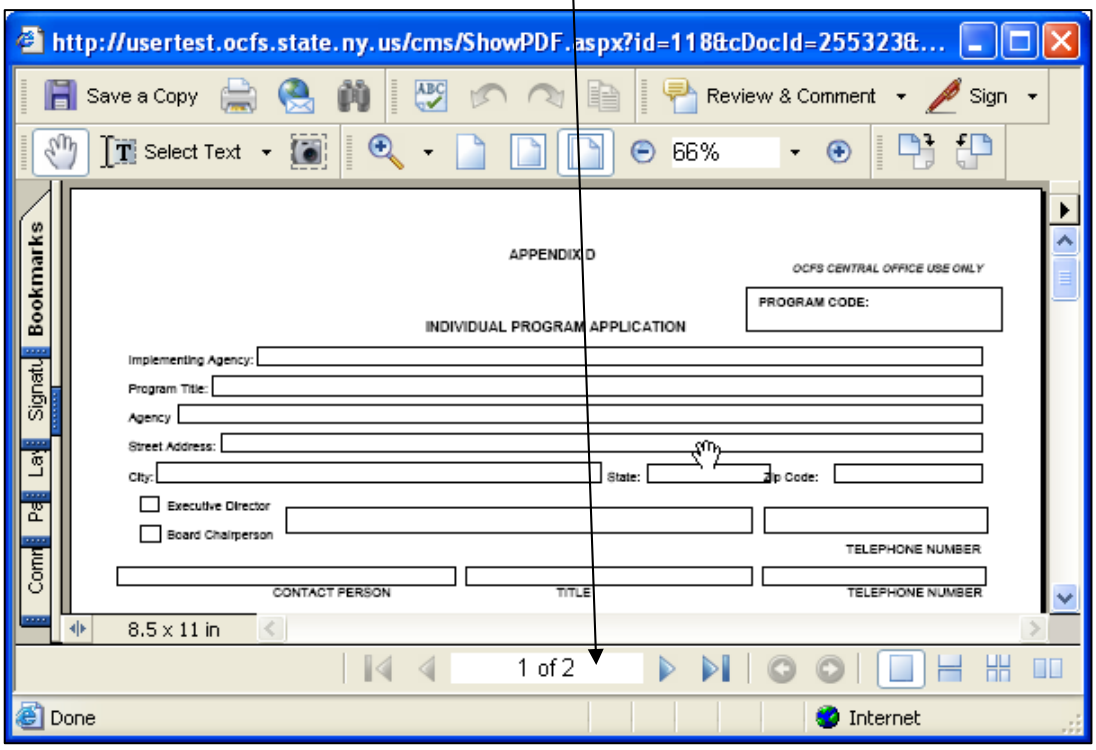
Interactive Documents are contract documents that need to have information filled in by the Contractor. They are similar to Download Documents, except the documents are completed online, using an interactive Adobe .pdf file. You will fill in the information requested, then click the Submit button located within the document. The completed document is incorporated within the contract document package and contains the information you provided. Later on we will learn how to view the contract document package and you will see the information that you added through the Interactive Document(s).

Opening and Completing Interactive Documents

✓ Before you begin: Log into CMS. You should be at the Contract Review Module page.

What You Do	*Comments/Prompts*
Locate the **Interactive Documents** section. Click the **Insert Details** link (under the Action column) for the file you wish to open and complete online.	
A pop-up window may appear, indicating that Adobe Acrobat is launching. The window will disappear after the program launches.	

What You Do	Comments/Prompts
The interactive Adobe .pdf file that you need to fill out opens in a new window.	Observe that the document may have multiple pages.

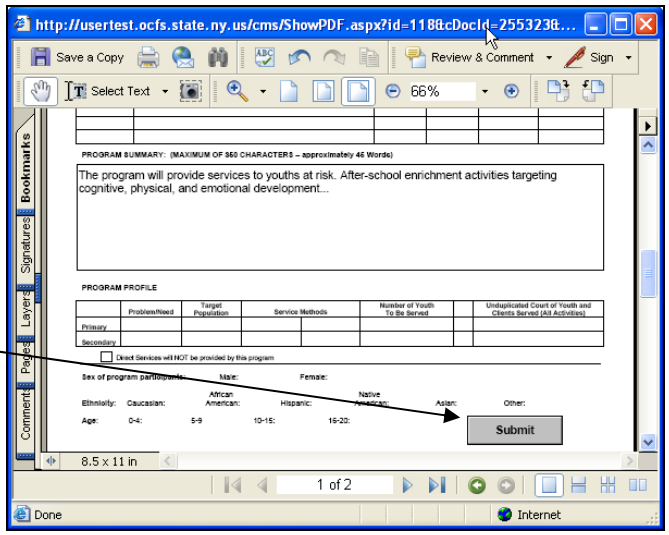


Complete the document, filling in all requested information. You will be able to click the mouse and put the cursor in any field that is eligible to be updated. Scroll through all the pages to make sure that you have completed the full document.

When you have finished completing all sections of the document, locate the **Submit** button.

Note: The **Submit** button may not be on the last page of the document – in this example, it is located on page 1, even through there is a second page.

Click the **Submit** button to save the changes and incorporate the information in the contract document package.



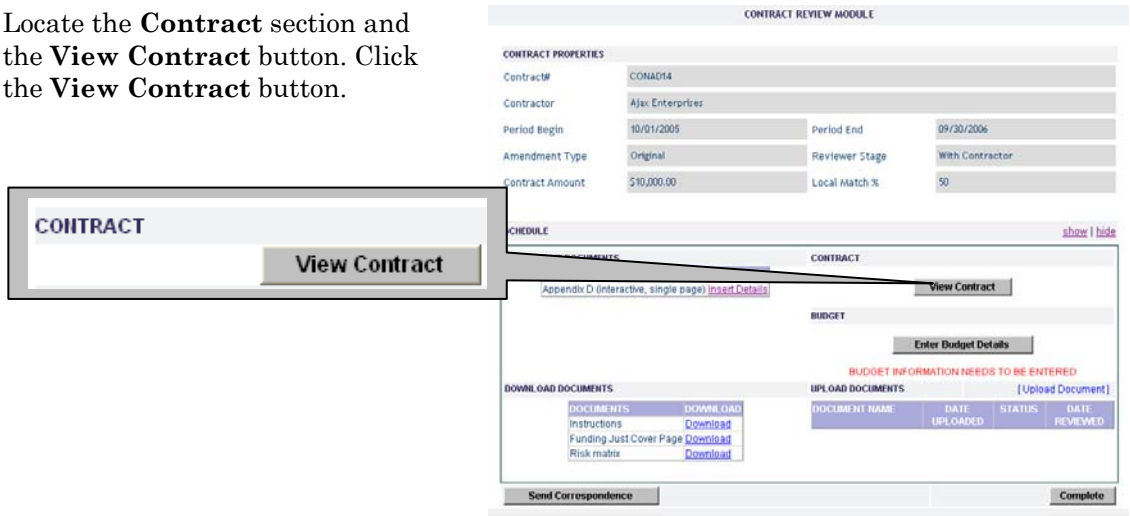
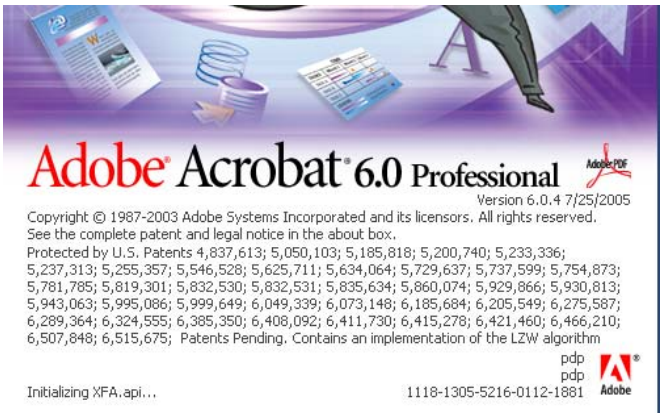
What You Do	Comments/Prompts
The document window will close, and the document is now part of the contract package in process. Click **CLOSE WINDOW** to return to the Contract Review Module page.	

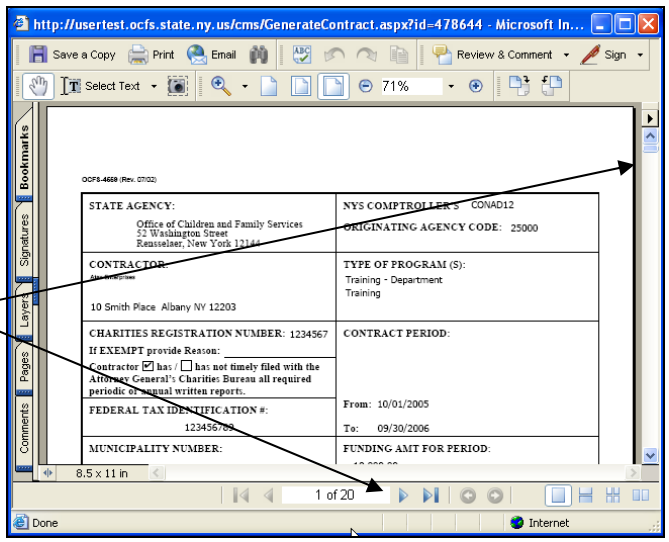
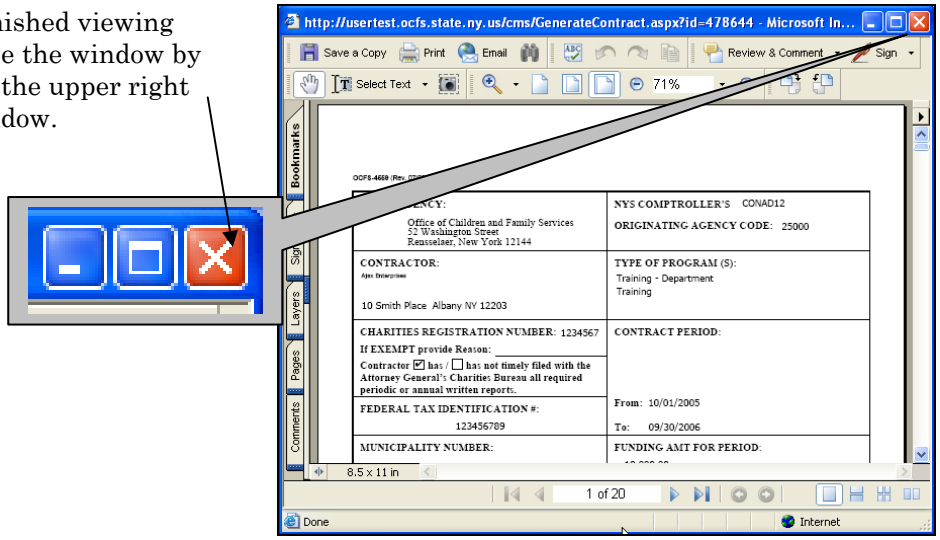
Viewing the Contract Document Package

The View Contract button is used to open a window and display the Contract Package, in .pdf format. The contract document contains many standard New York State and OCFS forms, in addition to forms and information specific to the specified contract and your organization. Any information that you have provided via the Interactive Documents section, or documents that you have uploaded and are approved by OCFS staff and attached to the contract package will be accessible from here.

Viewing the Contract Documents

✓ Before you begin: Log into CMS. You should be at the Contract Review Module page.

What You Do	Comments/Prompts
Locate the **Contract** section and the **View Contract** button. Click the **View Contract** button.	
A pop-up window will appear, indicating that the document is being (temporarily) downloaded to your computer. You may also see a splash screen for Adobe Acrobat appear.	

What You Do	Comments/Prompts
You can now see the entire contract document package. Although the pages in the file may have originally been separate forms, they are incorporated into a single contract document package when you view them in CMS. Use the vertical scroll bar or the Adobe Acrobat navigation arrows to page through the document. **Note**: As you scroll through, observe that the comments you placed in the interactive document are now in the contract document. When you are finished viewing the contract, close the window by clicking the **X** in the upper right corner of the window.	 

Budget Details

Budget information needs to be entered into the system. Even if you have submitted a budget with your RFP or other contractual proposal prior to your contract award, this information still needs to be entered into CMS.

It is also important to note that the budget information entered must agree with your contract specifications with regards to total award, percent matching contributions and the like. Please refer to your original contract award notification letter, RFP and/or the Instructions document available for download. It is highly recommended that you have all your budget details and figures readily available before attempting to enter them into CMS.

Until you have successfully entered the budget information within the constraints of your contract agreement the warning on the screen in red, **BUDGET INFORMATION NEEDS TO BE ENTERED** remains there. If you entered the information but the figures did not match the requirements of your contract, such as the OCFS award amount or the matching percentage requirements, you may receive one of the following error messages:

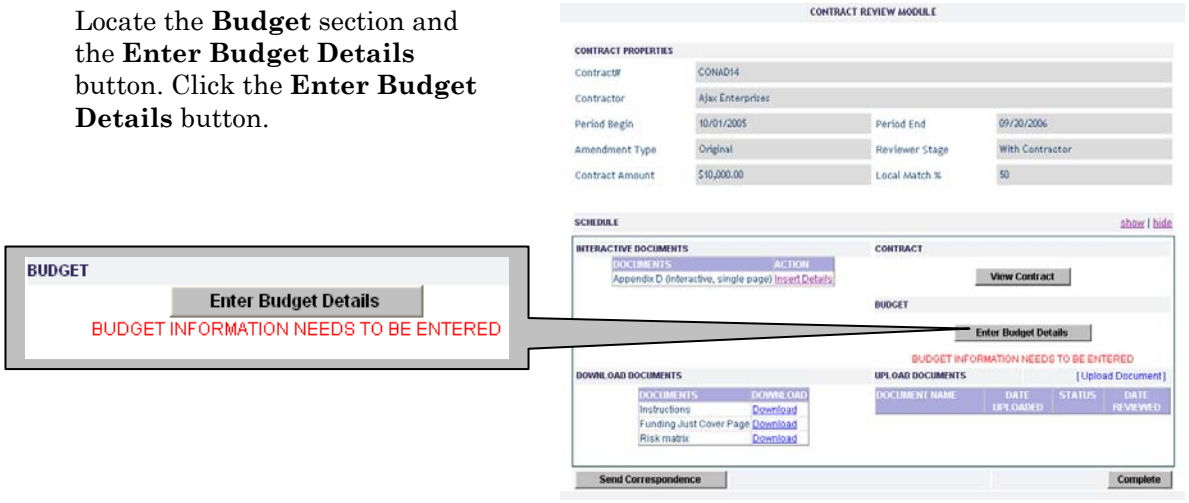
- **BUDGET AMOUNT DOES NOT EQUAL AWARD AMOUNT**
- **BUDGET VIOLATES MATCHING PERCENTAGE**.

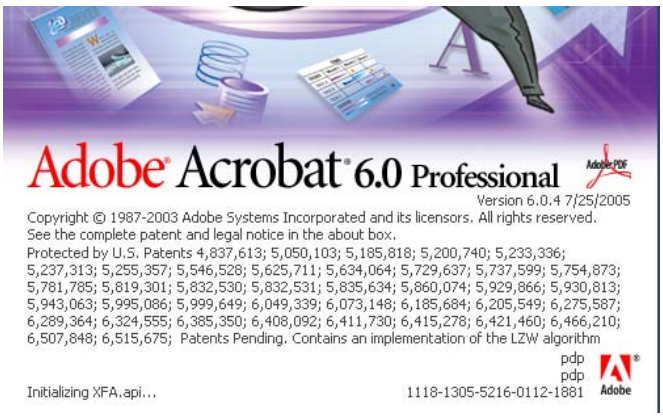
You will need to re-enter the budget information, making corrections until any warning messages disappear.

Entering the Budget

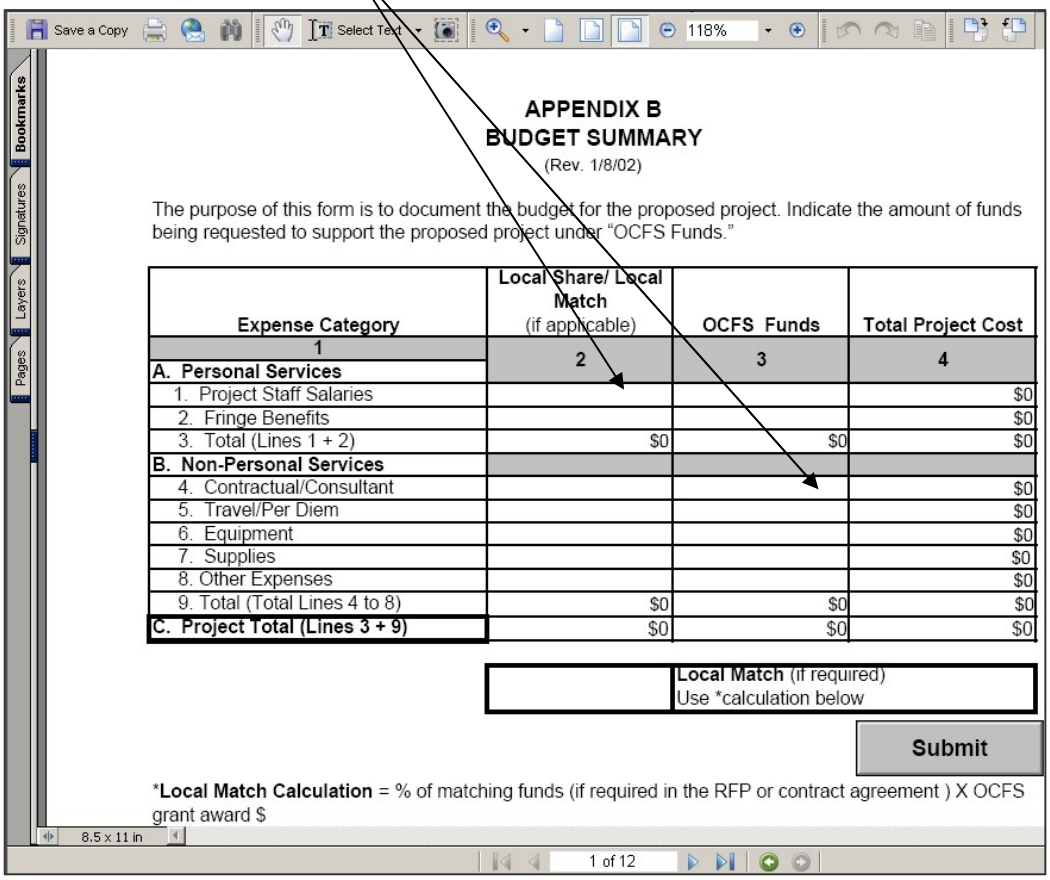
✓ Before you begin: Log into CMS. You should be at the Contract Review Module page.

What You Do	*Comments/Prompts*
Locate the **Budget** section and the **Enter Budget Details** button. Click the **Enter Budget Details** button.	



What You Do	Comments/Prompts
As with interactive documents and viewing contracts, a pop-up window may appear and Adobe Acrobat will launch. The Adobe splash screen will disappear and the Budget will be displayed.	

What You Do	*Comments/Prompts*
Click in the fields that are blank and provide the budget information.	The system will automatically subtotal and total the amounts.



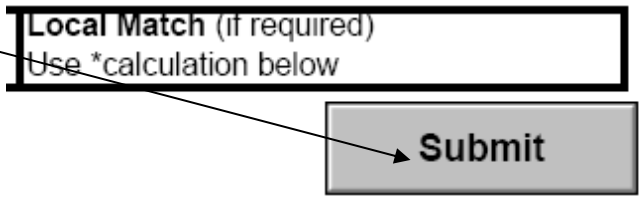
Note: Make sure you enter values in the Local Share/Local Match column, if your contract requires this.

For training purposes, complete the first page of the budget only, as per the instructor's directions.

You do not need to enter dollar signs – the system will automatically format the numbers that you enter.

As with other documents that you fill out online, there may be additional pages after the **Submit** button. To avoid being timed out while entering a large amount of data, you may want to periodically submit information.

Once you are satisfied with the budget, click the **Submit** button.



What You Do	Comments/Prompts
A confirmation screen will display. Click the **Close Window** link.	
The Contract Review Module page is displayed. Notice that the warning message **BUDGET INFORMATION NEEDS TO BE ENTERED** is no longer present.	

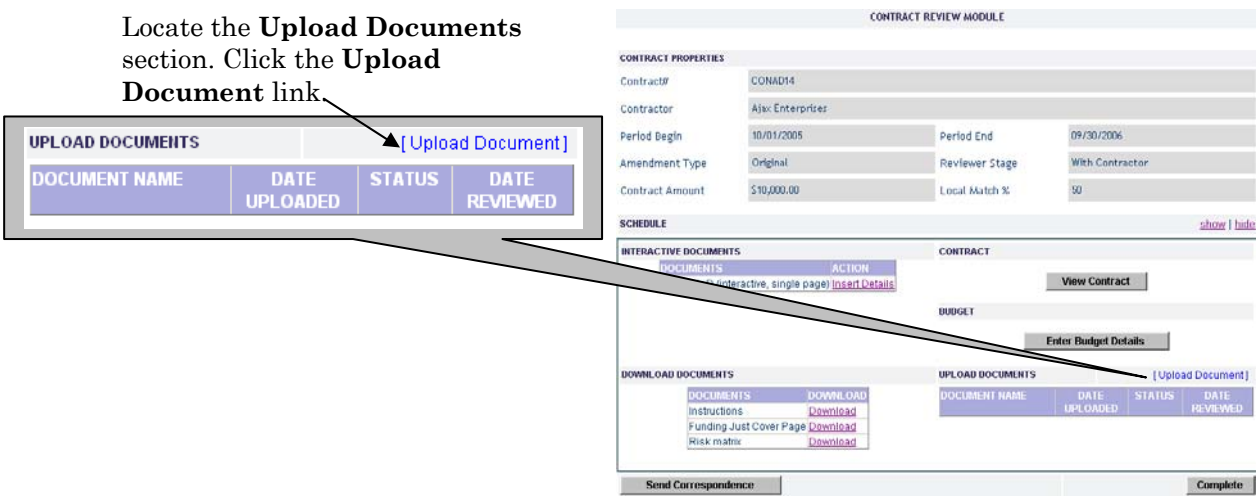
Uploading Documents –Sending Documents to CMS

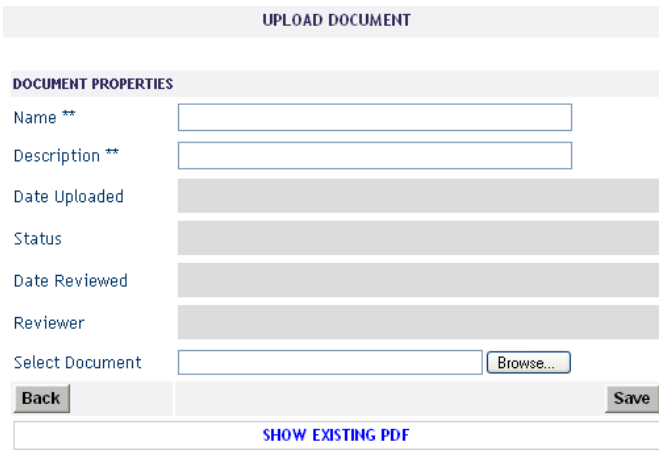
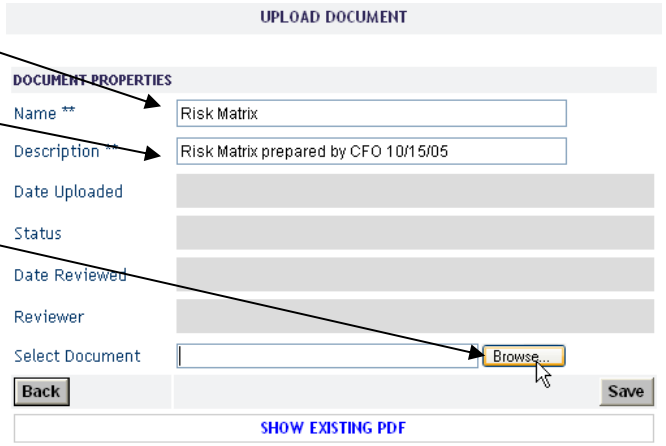
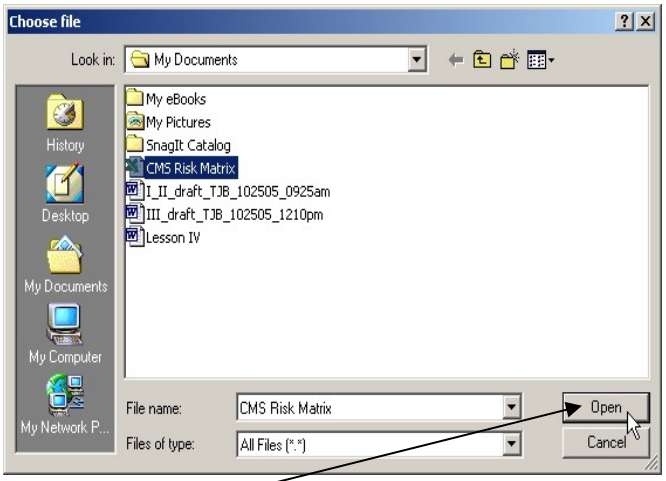
Many times there are contractually related documents that need to be downloaded from CMS to your computer for completion at a later time. Once these documents have been updated they need to be added to CMS, or *uploaded*. There may also be documents you need to put in the CMS system that originate with you, the Contractor. These documents can also be uploaded to CMS.

Documents are added via the **Upload Document** link. You select the file that you wish to add, and it is copied to CMS. OCFS reviewers, such as your Program Manager, will review the documents and approve them or send them back for additional revision. The Program Manager can add approved documents to the contract package.

Uploading Documents

✓ Before you begin: Log into CMS. You should be at the Contract Review Module page.

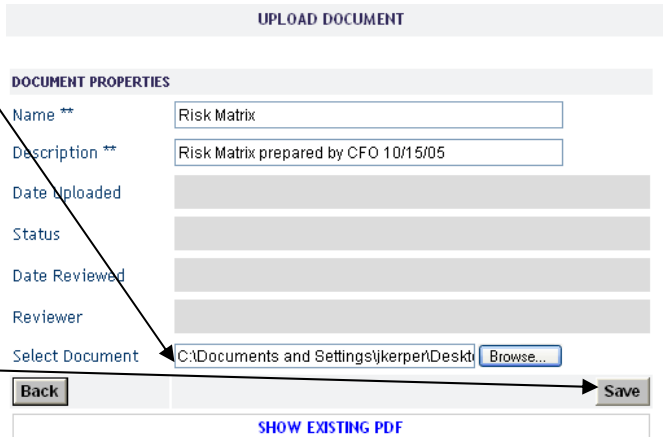
What You Do	Comments/Prompts
Locate the **Upload Documents** section. Click the **Upload Document** link.	

What You Do	Comments/Prompts
The **Upload Document** page is displayed.	
Enter the **Name** of the document you wish to upload and a brief **Description**. **Note**: You must enter both a Name and a Description. Click the **Browse** button to locate the document file.	
The **Windows Choose File** dialog box is displayed. Navigate to the file you wish to add. **Note**: Although this example depicts uploading a CMS Risk Matrix, for the purposes of training you may wish to select whatever file you downloaded in Task B-2. The **File Name** will be selected automatically. The only change you should make to the file name is the addition of a revision number. Click the **Open** button.	

What You Do

Comments/Prompts

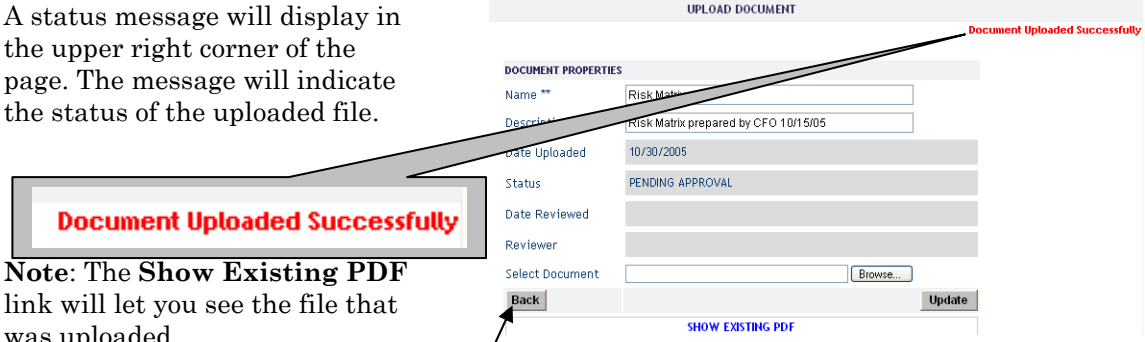
The **Select Document** field will now show the file path for the file you selected.



Click the **Save** button.

Note: The **Show Existing PDF** link will let you see the file that was uploaded.

A status message will display in the upper right corner of the page. The message will indicate the status of the uploaded file.



Note: The **Show Existing PDF** link will let you see the file that was uploaded.

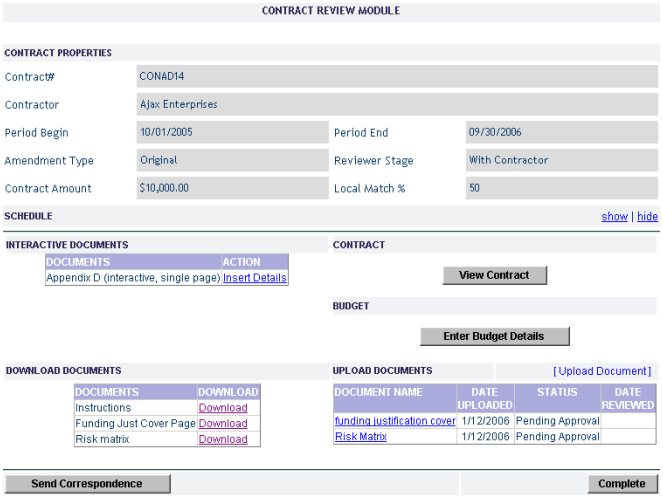
The **Save** button has changed to an **Update** button.

Click the **Back** button to return to the **Contract Review Module** page.

Notice that the **Status** field indicates the document is pending approval. An OCFS reviewer (such as your Program Manager) must approve the file.

If you need to upload additional documents, click the **Back** button to return to the Contract Review Module page and repeat the process of uploading a file. Use the **Update** button if you need to replace the file you just updated with a different one.

The **Contract Review Module** page is displayed. Notice that the file(s) you added are displayed in the **Upload Documents** table.

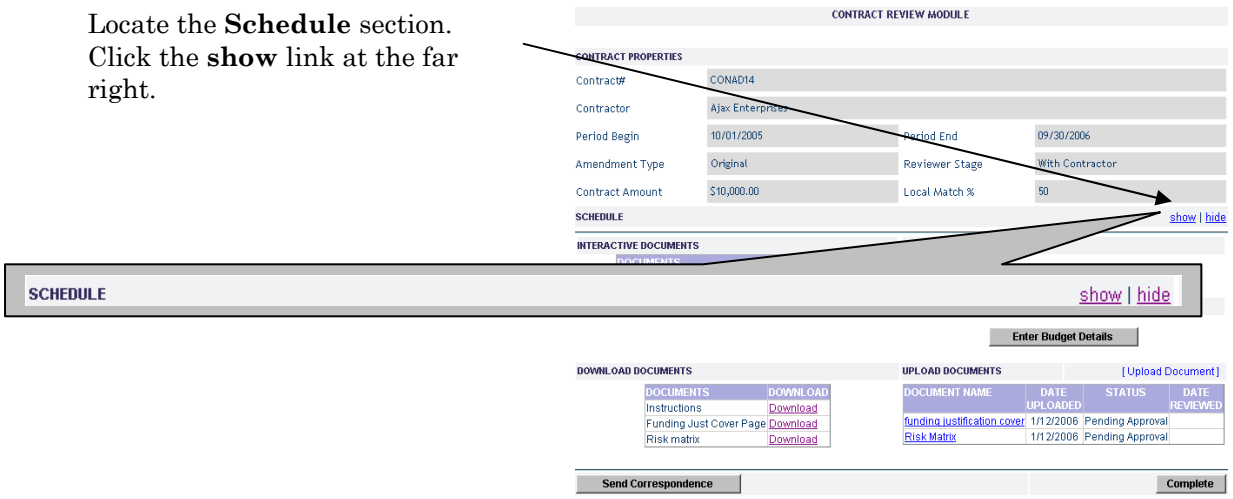
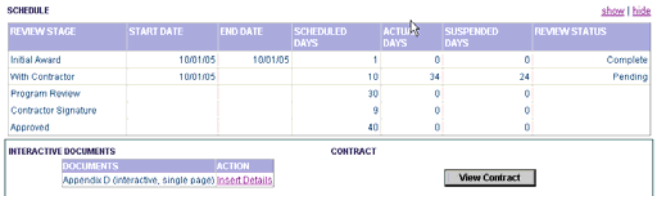
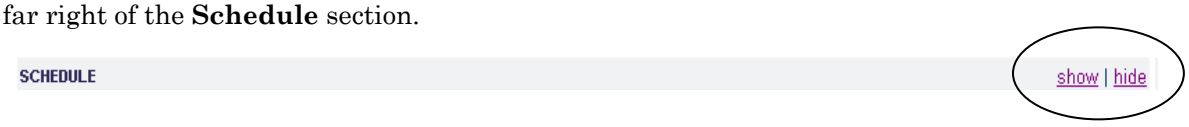


Viewing the Schedule

There are multiple review stages that make up the review schedule for a task. Once you perform the part of the review process that is your responsibility, the task moves on to the next person in the review schedule. CMS lets you see the various stages that make up the review schedule through the Schedule section of the Contract Review Module.

Viewing the Review Schedule

✓ Before you begin: Log into CMS. You should be at the Contract Review Module page.

What You Do	*Comments/Prompts*
Locate the **Schedule** section. Click the **show** link at the far right.	 CONTRACT REVIEW MODULE CONTRACT PROPERTIES Contract# CONAD14 Contractor Ajax Enterprises Period Begin 10/01/2005 Period End 09/30/2006 Amendment Type Original Reviewer Stage With Contractor Contract Amount $10,000.00 Local Match % 50 SCHEDULE show | hide INTERACTIVE DOCUMENTS SCHEDULE show | hide Enter Budget Details DOWNLOAD DOCUMENTS DOCUMENTS DOWNLOAD Instructions Download Funding Just Cover Page Download Risk matrix Download UPLOAD DOCUMENTS [Upload Document] DOCUMENT NAME DATE UPLOADED STATUS DATE REVIEWED funding justification cover 1/12/2006 Pending Approval Risk Matrix 1/12/2006 Pending Approval Send Correspondence Complete
The details of the **Schedule** section (which were previously hidden) now appear on the page. Observe the items in the review schedule.	 SCHEDULE show | hide REVIEW STAGE START DATE END DATE SCHEDULED DAYS ACTUAL DAYS SUSPENDED DAYS REVIEW STATUS Initial Award 10/01/05 10/01/05 1 0 0 Complete With Contractor 10/01/05 10 34 24 Pending Program Review 30 0 0 Contractor Signature 9 0 0 Approved 40 0 0 INTERACTIVE DOCUMENTS DOCUMENTS ACTION Appendix D (interactive, single page) Insert Details CONTRACT View Contract
	Note: The schedule that you will see during training is a highly-abbreviated version of the review schedule for your real contracts, which are customized to suit your contracts and the persons that must take part in the review. See the example listed in the next section for a more realistic example.
If you wish to hide the **Schedule** details, click the **hide** link at the far right of the **Schedule** section.	

Completing the Review Process for Your Stage

Once you have completed all necessary steps on the Contract Review Module, you will complete the review stage. This moves the item out of your inbox, and into the Inbox of the next person in the review schedule. Typically this person will be the OCFS staff person in charge of your contract – the Program or Contract Manager. Below is an example of a typical contract management process after the contract has been awarded.

CONTRACT SCHEDULE TYPES

SCHEDULE TYPE	ONLINE C STANDARD USER/SIG [CONTRACT]		
REVIEW STAGE	**ROLE**	**SCHEDULED DAYS**	**HOLDS INDICATOR**
Initial Award	PROGRAM	0	N
Request Coding	BCMADMIN	0	N
With Contractor	CONUSER	38	N
Program Review	PROGRAM	34	N
Internal Review		29	N
------Internal Review BCM	BCMADMIN	29	N
------Internal Review Budget	BUDGET	29	N
------Internal Review Legal	LEGAL	29	N
Request Coding 2	BCMADMIN	0	N
Package to Contractor for Signature	CONSIG	7	N
OCFS Signature & Processing	BCMADMIN	9	N
AG	BCMADMIN	15	N
Request Coding 3	BUDGET	2	Y
AC-340 Processing	BCMADMIN	1	N
OSC	BCMADMIN	15	N
TOTAL DAYS IN SCHEDULE		**150**	

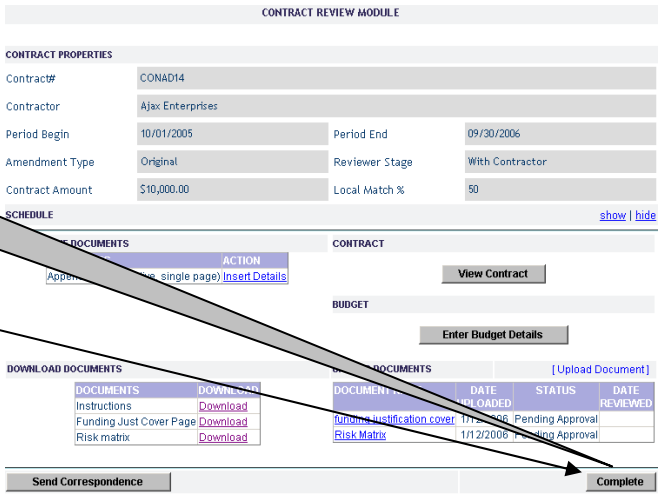
Notice the two Contractor stages – With Contractor and Package to Contractor for Signature. The latter stage must be completed by a Contractor staff person with signature authority.

As demonstrated by the image above the Contractor is only directly involved with two stages of the process: the "With Contractor" stage which reflects all of the activity on the Contract Review Module page that the CONUSER role is responsible for; and the "Contractor Signature" stage, for which someone in the CONSIG role has responsibility.

Each of the main review stages must be completed before the next one can begin. Even though a contract, renewal, or amendment review has been completed by you and the OCFS staff person in charge of your contract, the contract or contract changes are not finalized until the last stage has been completed and the Office of the State Comptroller (OSC) has approved the item.

Completing the Review Stage

✓ Before you begin: Log into CMS. You should be viewing the Contract Review Module page.

What You Do	*Comments/Prompts*
Locate the **Complete** button, at the bottom of the page.	
Click the **Complete** button.	
The Contract Review Module page disappears. The item is no longer in your Inbox.	**Note**: If you completed the contract review work over a period of time, it is good practice to review the current status of the contract – the budget, contract documents, uploaded documents, and interactive documents. Once you complete the review stage, you will not be able to change the information unless an OCFS staff person sends the items back to your review stage again.

C H A P T E R 6

Reviewing Basic Information

Topics

a Viewing Contractor Details

b Viewing Contract Details – Contract Period, Document, and Budget Information

Chapter 6: Reviewing Basic Information

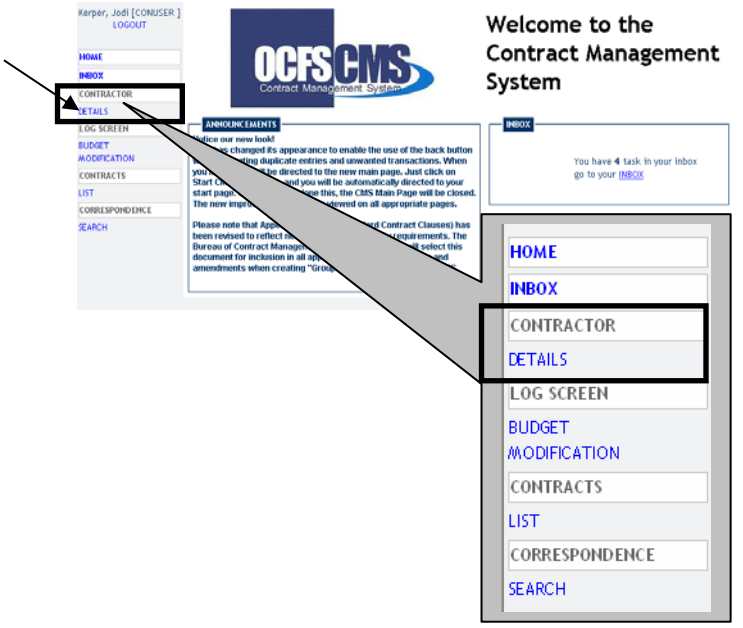
Overview > Basic information about a Contract and a Contractor can be viewed by users affiliated with the Contractor from within CMS. You cannot change or adjust this information. Should you have any questions and/or concerns about your organization's information in CMS, please contact your Program Manager.

Viewing Contractor Details

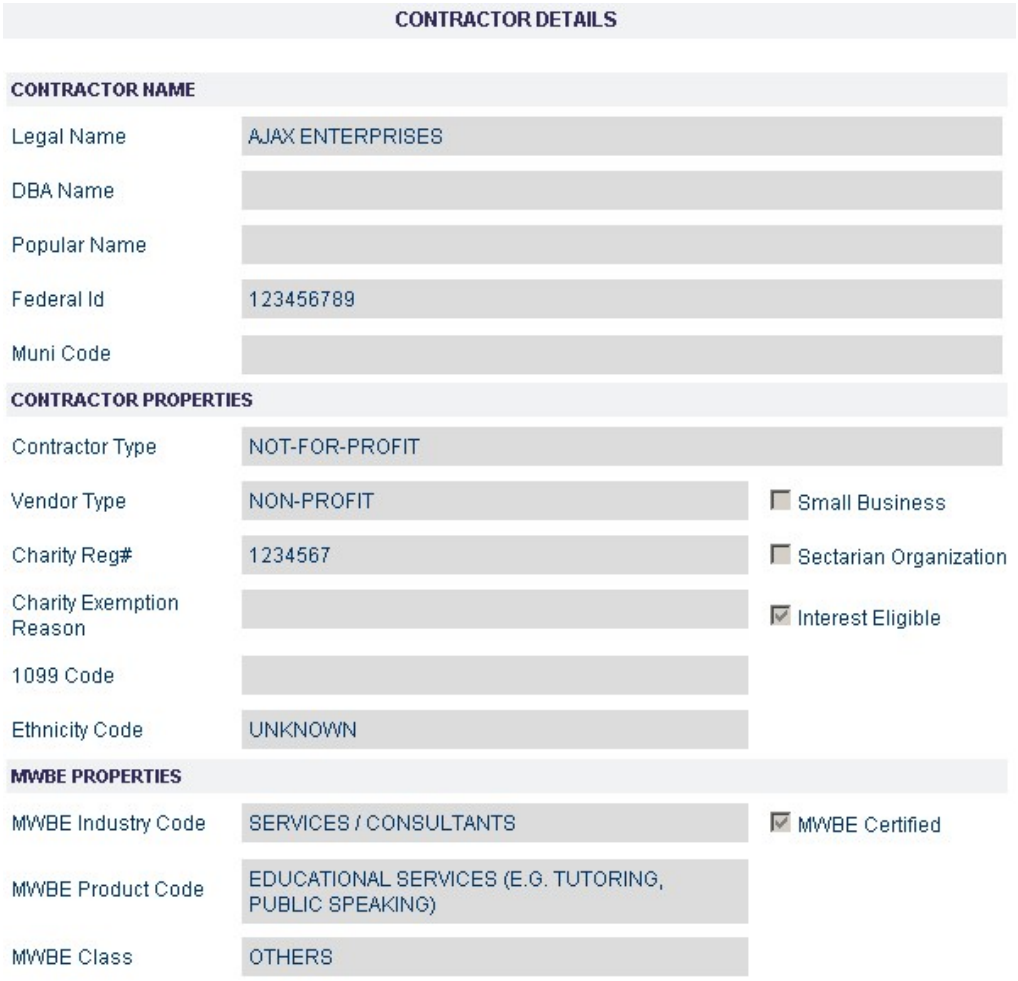
Contractor details can be obtained by selecting the **DETAILS** link under the heading **CONTRACTOR** on the main menu. The Contractor Details screen opens. Information fields such as Legal Name, Federal Tax ID# and Contractor Type are displayed. Once again, if you have any questions and/or concerns about your organization's information in CMS, please contact your Program Manager.

Task A-1: Viewing Contractor Details

✓ Before you begin: Log into CMS.

What You Do	*Comments/Prompts*
From the main menu, click the **DETAILS** link under the **CONTRACTOR** heading.	

What You Do	Comments/Prompts
The Contractor Details screen will display.	Review the information contained on the page. If any information is incorrect, contact your Program Manager.



CONTRACTOR DETAILS

CONTRACTOR NAME		
Legal Name	AJAX ENTERPRISES	
DBA Name		
Popular Name		
Federal Id	123456789	
Muni Code		
CONTRACTOR PROPERTIES		
Contractor Type	NOT-FOR-PROFIT	
Vendor Type	NON-PROFIT	☐ Small Business
Charity Reg#	1234567	☐ Sectarian Organization
Charity Exemption Reason		☑ Interest Eligible
1099 Code		
Ethnicity Code	UNKNOWN	
MWBE PROPERTIES		
MWBE Industry Code	SERVICES / CONSULTANTS	☑ MWBE Certified
MWBE Product Code	EDUCATIONAL SERVICES (E.G. TUTORING, PUBLIC SPEAKING)	
MWBE Class	OTHERS	

If you have additional tasks to perform on the system, use the CMS Main Menu to navigate to other pages.

Viewing Contract Details

Basic information about the Contract can also be viewed by a user from the Contractor's organization. As with Contractor Details, you cannot directly change the information. Should you have any questions and/or concerns about the contract information in CMS please contact your Program Manager. As noted earlier, while navigating the Inbox, information about the Contract can be accessed in two ways – through the **Inbox**, and from the **Contracts List**.

Note: We will not perform the first method in class at this time. You should have already done this in Chapter 3.

❶Inbox method: From the Inbox, observe the column labeled **CONTRACT**. Notice the contract numbers listed underneath. The contract numbers are underlined, indicating that they are active links.

Note: Remember that the Inbox only displays items that need to be completed by you. *Therefore, the Inbox will not display a list of all Contracts.*

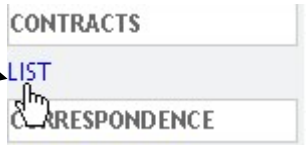
CMS INBOX

TASK	CONTRACT	PROGRAM NAME	REVIEW STAGE	REVIEWER	LOG STATUS	STAGE DAYS REMAINING
BUDWD	CONADW3	Training - Department	With Contractor	Kerper, Jodi	Pending	1
RENEW	CONADW3	Training - Department	With Contractor	Kerper, Jodi	Pending	9
CTRCT	CONAD10	Training - Department	With Contractor	Kerper, Jodi	Pending	5
CTRCT	CONADW8	Training - Department	With Contractor	Kerper, Jodi	Pending	30

1

Click the **Contract** number link, and the **Contract Details** page will display.

❷Contracts List method: From the Main Menu, select **LIST** from under the **CONTRACTS** heading.



This displays the **Contract Search** page. Contractor users will see a list of *all* of their organization's contracts. Notice the different fields in the list. The table indicates background information about the award, as well as contract term and status.

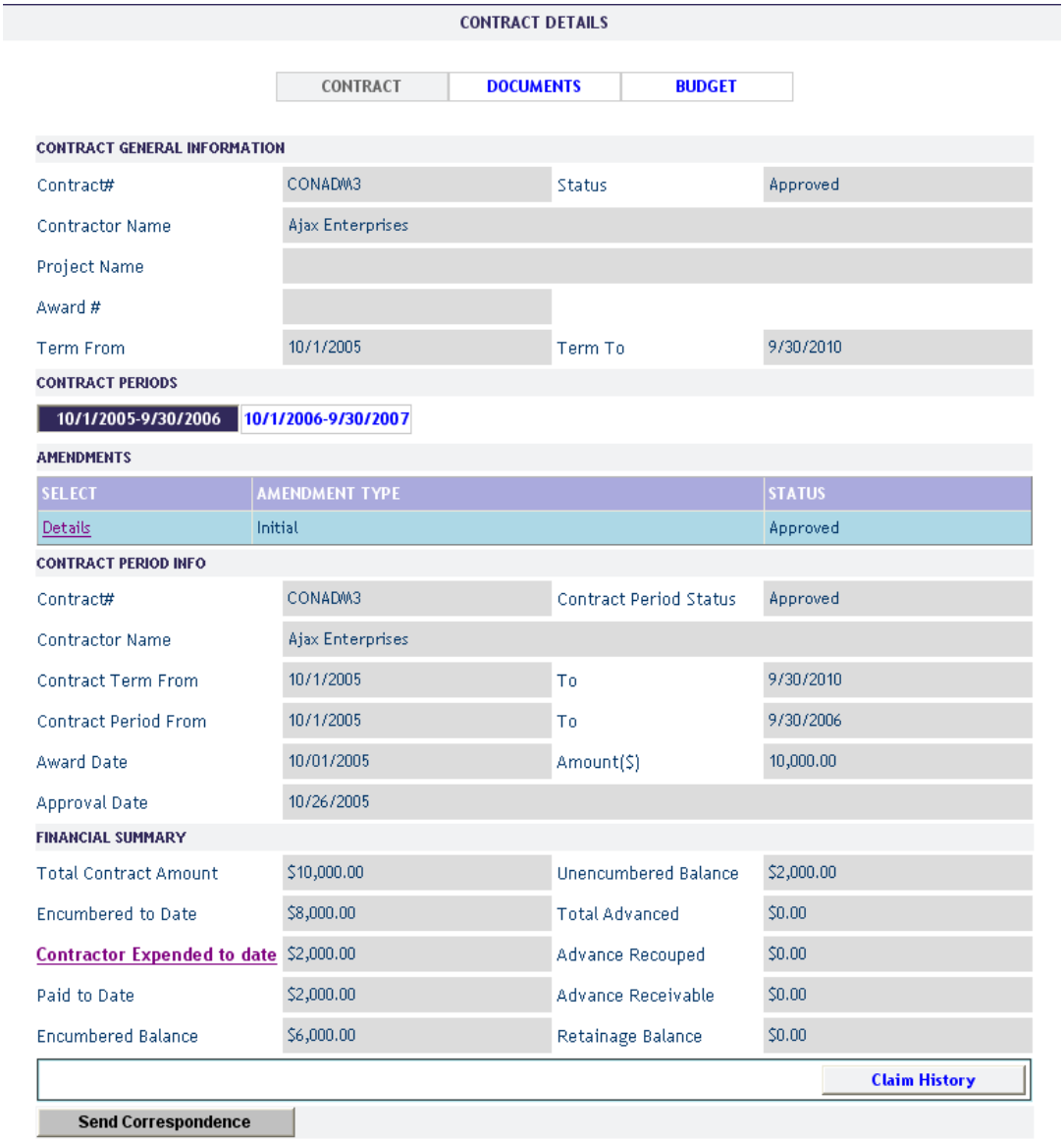
CONTRACT SEARCH

CONTRACT #	CONTRACTOR	AWARD #	PROJECT NAME	FED ID/MUNI CODE	AMOUNT	CONTRACT TERM	STATUS
CONADM1	Ajax Enterprises			123456789	$10,000.00	10/01/2005 - 09/30/2010	In Process
CONADM2	Ajax Enterprises			123456789	$10,000.00	10/01/2005 - 09/30/2010	In Process
CONADM3	Ajax Enterprises			123456789	$10,000.00	10/01/2005 - 09/30/2010	In Process

Click one of the **CONTRACT#** links to display the Contract Details page (see next page).

Contract Details Page

Contractors can view three types of information from the Contract Details Page: Contract, Document, and Budget information, each corresponding to a tab available at the top of the Contract Details page. When you open the Contract Details page, the page automatically defaults to the Contract tab.



CONTRACT DETAILS

CONTRACT | DOCUMENTS | BUDGET

CONTRACT GENERAL INFORMATION

Contract#	CONADM3	Status	Approved
Contractor Name	Ajax Enterprises		
Project Name			
Award #			
Term From	10/1/2005	Term To	9/30/2010

CONTRACT PERIODS

10/1/2005-9/30/2006 | 10/1/2006-9/30/2007

AMENDMENTS

SELECT	AMENDMENT TYPE	STATUS
Details	Initial	Approved

CONTRACT PERIOD INFO

Contract#	CONADM3	Contract Period Status	Approved
Contractor Name	Ajax Enterprises		
Contract Term From	10/1/2005	To	9/30/2010
Contract Period From	10/1/2005	To	9/30/2006
Award Date	10/01/2005	Amount($)	10,000.00
Approval Date	10/26/2005		

FINANCIAL SUMMARY

Total Contract Amount	$10,000.00	Unencumbered Balance	$2,000.00
Encumbered to Date	$8,000.00	Total Advanced	$0.00
Contractor Expended to date	$2,000.00	Advance Recouped	$0.00
Paid to Date	$2,000.00	Advance Receivable	$0.00
Encumbered Balance	$6,000.00	Retainage Balance	$0.00

Claim History

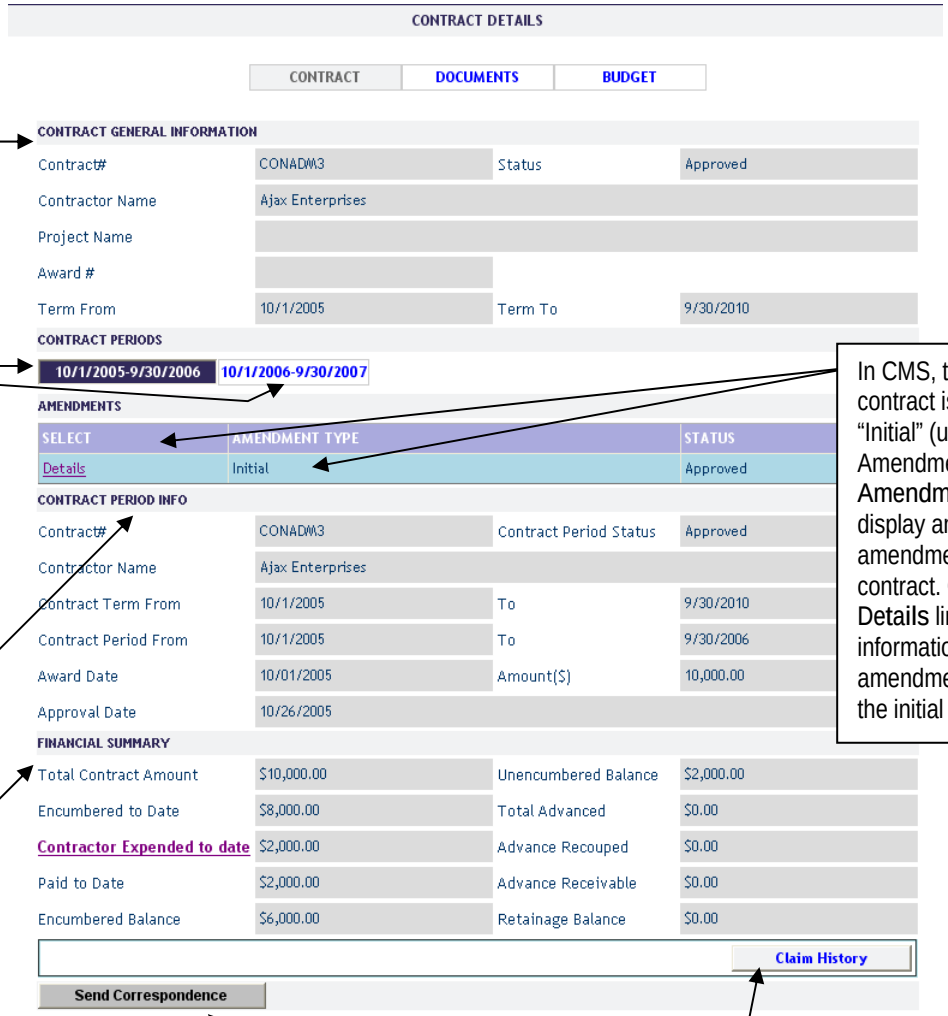
Send Correspondence

Take a few moments to familiarize yourself with the data available on the Contract Details page, through the following task.

Viewing the Contract Details Page – Contract Information

✓ Before you begin: Log into CMS. You must access the Contract Details page through one of the two methods listed at the beginning of section B.
Note: For training purposes, follow your instructor's directions to view the Contract Details page for the approved contract assigned to you at the beginning of class.

What You Do	*Comments/Prompts*
Examine the data available on the **Contract Details** page when the **Contract** tab is active.	Five sets of data appear on this page: • **Contract General Information** • **Contract Periods** • **Amendments** • **Contract Period Info** • **Financial Summary**



Contract General Information – Contract #, Status, Contractor Name, Project Name, Award #, and Term.

The Contract Periods section indicates if there are multiple contract periods. The field in reverse text (blue background) is the active contract period. Click the other contract period field to see information on that contract period.
The Contract Period Info section shows both Contract Period and Term Information.

In CMS, the original contract is known as "Initial" (under Amendment Type.)The Amendments table will display any amendments to the contract. Click the Details link for information on amendments other than the initial amendment.

The Financial Summary section offers financial data on the contract, including encumbered amount, paid amount, advances, recoupments, and total Contractor expenditure to date. If you are trying to find out how much money is currently available to spend in your contract, use this section.

You should already be familiar with the Send Correspondence button from Chapter 4.

The Claim History button allows you to access detailed financial information. We will explore this in Task B-2.

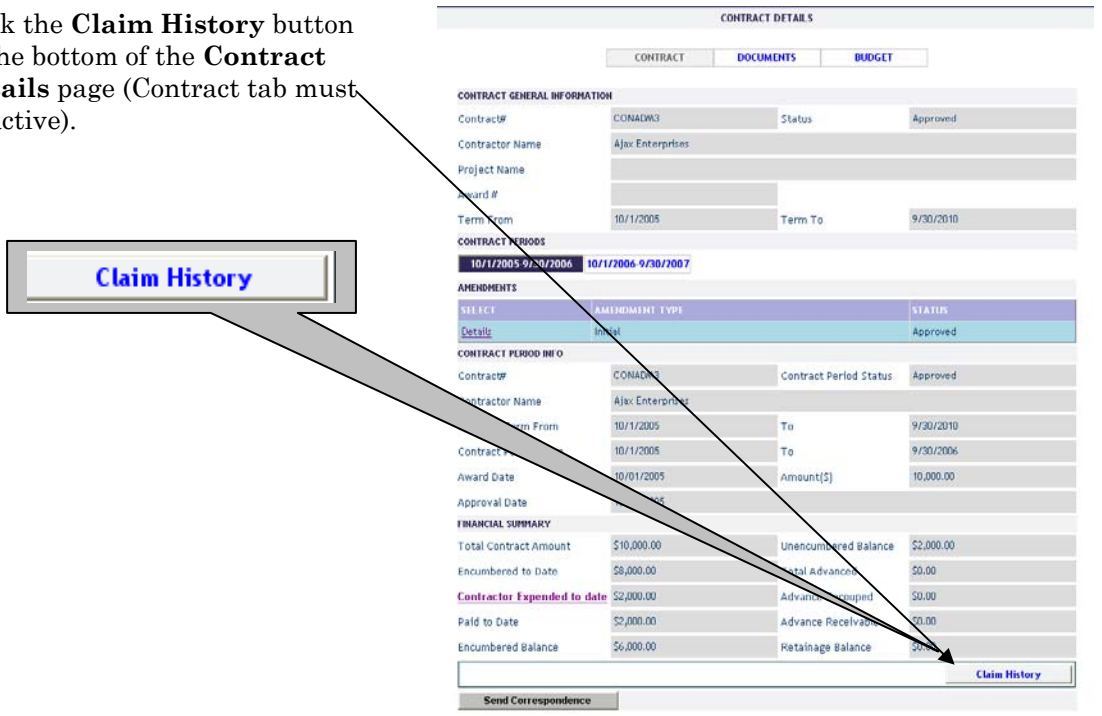
Claim History

Clicking the Claim History button will display the Claim History Report window. This page will list any claims made against your contract, and the status of those claims. This information includes the expense period of the claim, claim type, transaction type, received date, status, invoice number, amount reported, and amount paid.

Researching the Claim History

✓ Before you begin: Log into CMS and access the Contract Details page, with the Contract tab active. Locate the Claim History button at the bottom of the page.
Note: For training purposes, use the approved contract assigned to you at the beginning of class.

What You Do	*Comments/Prompts*
Click the **Claim History** button at the bottom of the **Contract Details** page (Contract tab must be active).	



What You Do	Comments/Prompts
The **Claim History Report** page is displayed.	The **Claim History Report** page lists any claims made against your contract, and the status of those claims. This information includes the expense period of the claim, claim type, transaction type, received date, status, invoice number, amount reported, and amount paid.

CLAIM HISTORY REPORT

CONTRACT DETAILS

Contract #:	CONADM3	Contract Period:	10/1/2005 To 9/30/2006
Contractor:	Ajax Enterprises		
Expenditures To Date:	$2,000.00	Paid To Date:	$2,000.00

EXPENDITURE LIST

EXPEND PERIOD	CLAIM TYPE	TRAN TYPE	RECEIVED DATE	STATUS	REF INV #	AMOUNT REPORTED	PAYMENT	DETAILS
10/01/05 To 10/27/05	Expenditure	SV	10/27/05	Approved	CONADM3	$2,000.00	$2,000.00	Details

The **Expenditure List** table contains a list of all expenditures. Click the **Details** link to find specific information about the expenditure.

The **Expenditure Report History Details** page displays all available details for the expenditure.

Review the page for the information you are seeking. Notice that the payment amount may be different than the amount requested, due to adjustments, advance recoupment, withholding, etc.

Note: You will need to use the CMS Main Menu to return to the Contract Details or any other part of the system.

Should you have any questions or concerns about the expenditure information in CMS, please contact your Program Manager.

EXPENDITURE REPORT HISTORY DETAILS

CONTRACT DETAILS

Contractor:	Ajax Enterprises		
Contract #:	CONADM3	Contract Amount:	10000.00
Contract Period:	10/1/2005 To 9/30/2006		

EXPENDITURE DETAILS

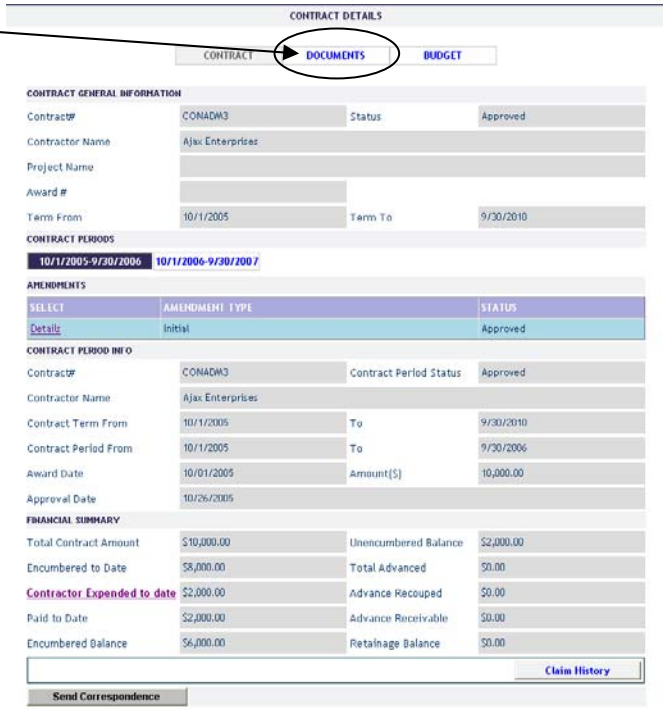
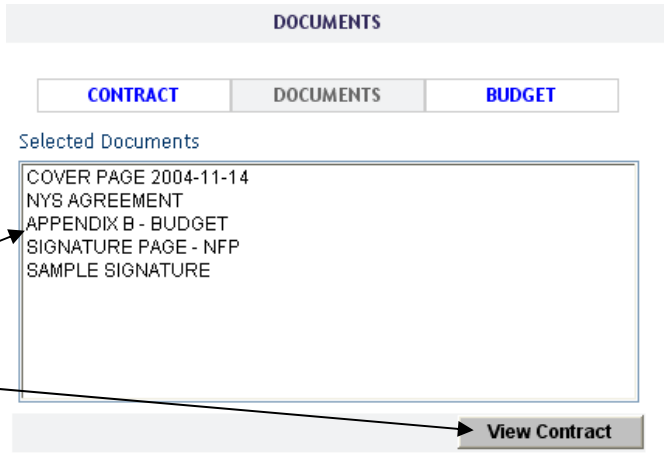
Expenditure Period:	10/01/05 To 10/27/05		
Description:			
Claim Type:	Expenditure	Expenditure Amount:	2000.00
Ref/Invoice #:	CONADM3	Adjusted Expenditures:	2000.00
Voucher #:	5417125	Advance Recoup:	0.00
Batch #:		Withholding/Retainage:	0.00
Received Date:	10/27/05	Balance Due:	0.00
Date ProcessedCAPS:	10/27/05	Payment:	2000.00
Date Paid:		Amount Paid:	
Transaction Type:	SV	Check/EFT#:	
Claim Status:	Approved	Voucher Status:	Approved

Contract Documents

All documents that are part of the official contract package are listed on the Documents page. The page allows you to view a .pdf version of the Contract Package, just as you did when viewing the Contract Document Package from the Contract Review Module. Should you have any questions and/or concerns about the documents contained in your contract agreement in CMS, please contact your Program Manager.

Viewing Contract Documents

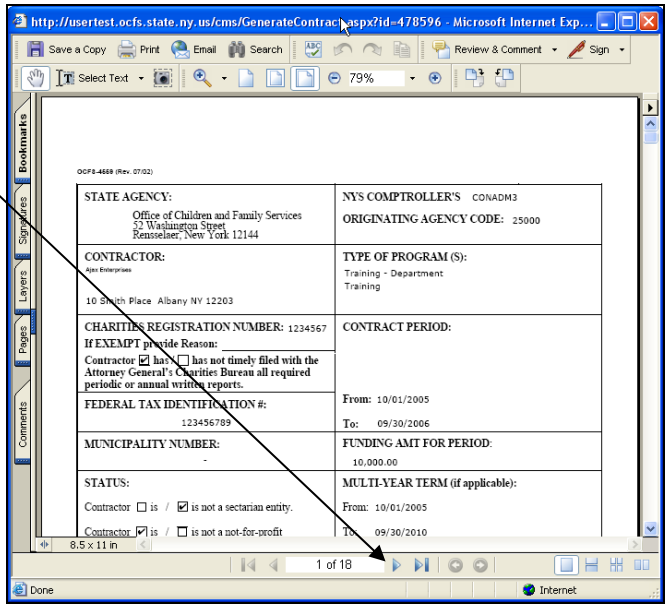
✓ Before you begin: Log into CMS and view the Contract Details page.
Note: For training purposes, use the approved contract assigned to you at the beginning of class.

What You Do	*Comments/Prompts*
Click the **DOCUMENTS** tab at the top of the Contract Details page.	
The **Documents** page is displayed. If you are looking at an approved contract, the items in the **Selected Documents** list have been approved by all participants in the contract – the Contractor, OCFS, and OSC. Click the **View Contract** button to view the contents of the entire document package.	

What You Do	Comments/Prompts

A new window will open, and the Adobe Acrobat splash screen may briefly appear. The splash screen will disappear.

The **Contract Document** package is displayed. You may use the Acrobat navigation arrows to move through the document.



Note: You can also save a copy of the document, print it, or even email it to an individual from this window.

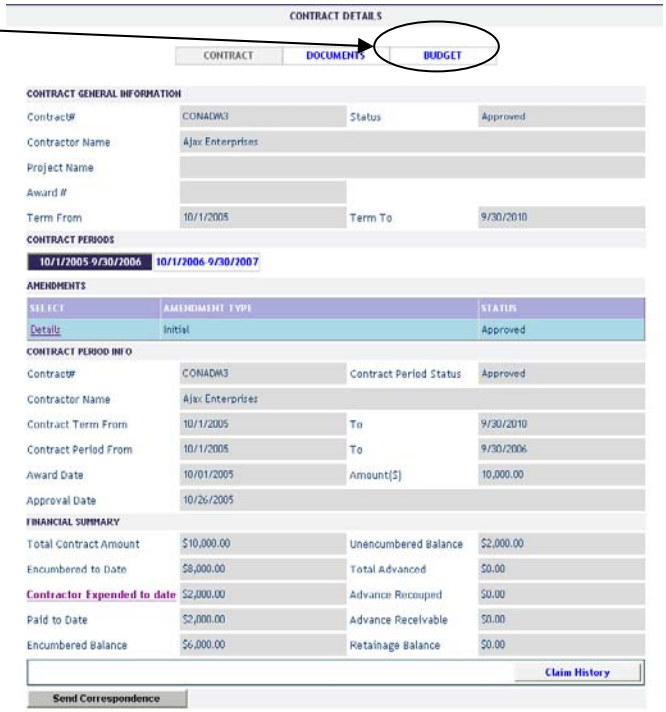
To close the window, click the **X** in the upper right corner of the page.

Contract Budget

The Budget tab on the Contract Details page shows the contract budget within CMS, as well as any previous or pending changes to the budget. The Budget is based on the budget you filled out within the Contract Review Module page, plus any budget modifications that have been submitted (we will discuss budget modifications in the next lesson.)

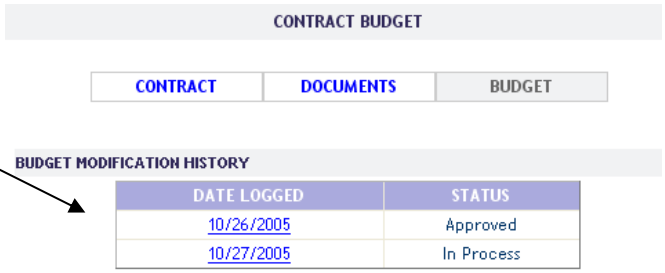
Viewing the Contract Budget

✓ Before you begin: Log into CMS and open the Contract Details page.
Note: For training purposes, use the approved contract assigned to you at the beginning of class.

What You Do	*Comments/Prompts*
Click the **BUDGET** tab at the top of the Contract Details page.	

What You Do	*Comments/Prompts*

The **Contract Budget** page is displayed.



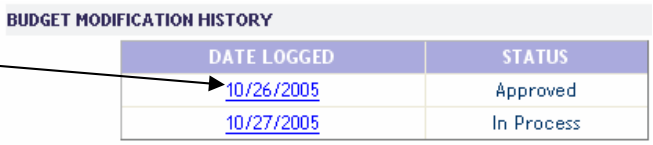
The **Budget Modification History** table indicates if this was the original budget for the contract period, or if it has been modified (we will discuss the budget modification process in Chapter 7). In this example we can see that the budget currently displayed in the **Budget Details** table is based on the approved budget modification request logged October 26, however there is a new budget modification request in process.

BUDGET DETAILS

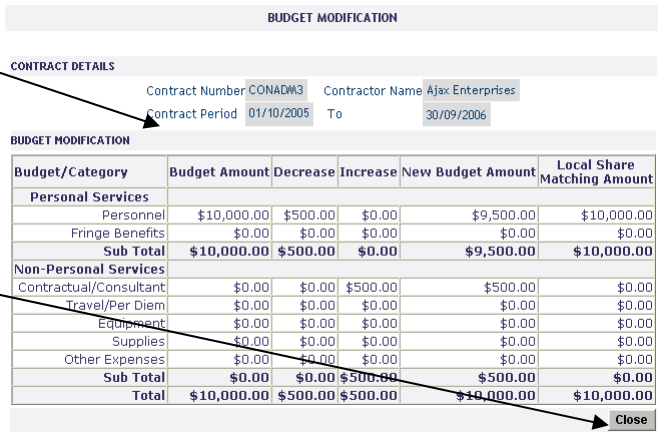
Budget/Category	Local Share/Match	OCFS Funds	Total
Personal Services			
Personnel	$10,000.00	$9,500.00	$19,500.00
Fringe Benefits	$0.00	$0.00	$0.00
Sub Total	**$10,000.00**	**$9,500.00**	**$19,500.00**
Non-Personal Services			
Contractual/Consultant	$0.00	$500.00	$500.00
Travel/Per Diem	$0.00	$0.00	$0.00
Equipment	$0.00	$0.00	$0.00
Supplies	$0.00	$0.00	$0.00
Other Expenses	$0.00	$0.00	$0.00
Sub Total	**$0.00**	**$500.00**	**$500.00**
Grand Total	**$10,000.00**	**$10,000.00**	**$20,000.00**

Note: You may use the **Contract** or **Documents** tabs to return to these pages. Use the CMS **Main Menu** to navigate to other areas besides the **Contract Details**.

To learn more about a budget modification, click the **Date Logged** link in the **Budget Modification History** table.



The **Budget Modification** form opens in a new window. This shows you what the budget looked like prior to modification, as well as the requested changes.



Click the **Close** button to return to the Budget page.

C H A P T E R 7

Managing Budget Modifications

Topics

a Understanding the Budget Modification Process within CMS

b Logging a Budget Modification Request

c Processing a Budget Modification

Chapter 7: Managing Budget Modifications

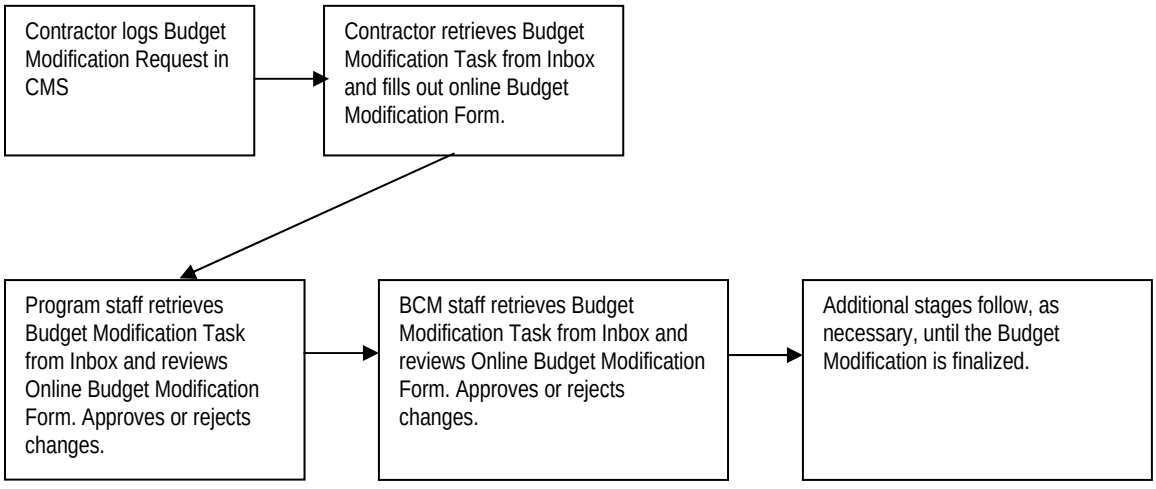
Understanding the Budget Modification Process within CMS

Concepts >

A budget modification is a change to an existing budget. It involves reallocating funds between and across budget categories and line items—for example, increasing personnel funds while decreasing equipment funds. A budget modification does not increase or decrease the total amount of the contract budget—just the way the funds are allocated.

Previously, when you as a contractor wished to modify the budget for an existing contract, you submitted a standard budget modification request form (Request for Modification of Contract Budget) to the appropriate contract manager. Typically, this is someone from the Program office supervising the contract. The form contains the existing budget information, along with the changes requested by you. The Program person logged the budget modification request, and began processing the form. Prior to the launch of CMS, this procedure occurred largely on paper. With the launch of CMS last year, Program and BCM staff were able to enter the budget modification data directly into CMS and process the budget modification online.

The ability to log and manage budget modifications online is now extended to contractors. Instead of sending the paper form to OCFS, you will log your budget modification request directly within CMS. Logging the budget medication request launches a budget modification review schedule (referred to within the Inbox as BUDMD). You, or someone in your office who is assigned to the budget modification review schedule within the system will then enter the budget modification data. You will submit this data to OCFS through the system, where it will be reviewed by internal reviewers. The first layer of OCFS internal review after you submit the online budget modification request is usually someone from the Program office. After Program staff have reviewed and approved the information online, they send it on, via the system. After the Program review stage(s) within the schedule have been completed, an Inbox entry appears for the next person in the review chain, such as a BCM user. The process continues until the budget modification reaches its final approval stage and the modified budget is applied against the contract. All subsequent expenditures and financial transactions will work against the modified budget. You will be able to view the current budget as well as find out any pending budget modification requests in the system.


Contractor logs Budget Modification Request in CMS
Contractor retrieves Budget Modification Task from Inbox and fills out online Budget Modification Form.
Program staff retrieves Budget Modification Task from Inbox and reviews Online Budget Modification Form. Approves or rejects changes.
BCM staff retrieves Budget Modification Task from Inbox and reviews Online Budget Modification Form. Approves or rejects changes.
Additional stages follow, as necessary, until the Budget Modification is finalized.

Data Flow for Budget Modification

Note: Only one budget modification request per contract may be in operation at any given time. For example, if you file a budget modification request against contract XYZ on

November 15, you cannot log any additional budget modification requests against that contract until the existing one has been fully processed (approved or rejected).

Expenditures may also be under review at the time of a budget modification request. The system provides warnings to the reviewers (through messages in red at the top of the budget modification or expenditure review page) if a budget modification is in progress at the same time that an expenditure is in progress. It is important to understand that a budget modification that is approved while an expenditure claim is under review may affect the claim approval process, due to changes in funds available for specific budget line items.

Logging a Budget Modification Request

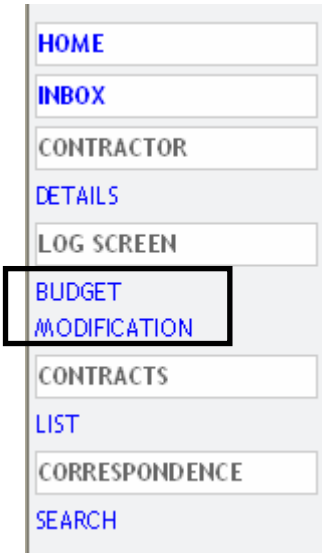
Concepts >

The first step in the online Budget Modification process within CMS is to log in the request. This provides a starting point for the process. You will locate your contract, then place a budget modification request against it. Only one budget modification request per contract may be in operation at any given time.

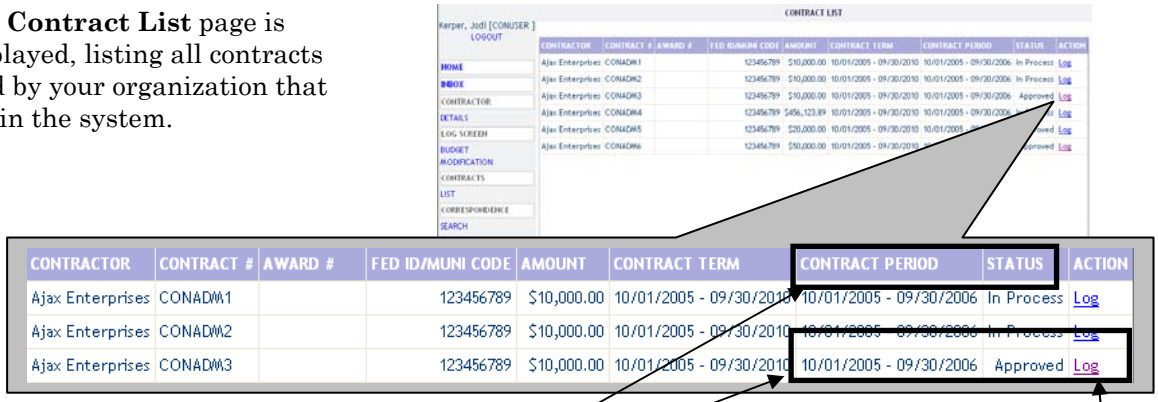
Note: Budget modification requests can only be filed against approved contracts. For example, if you are working on a contract that has just been awarded and has not been finalized (Contractor, OCFS, and OSC signature), you would not be able to submit a budget modification request.

Task B-1: Logging the Budget Modification Request

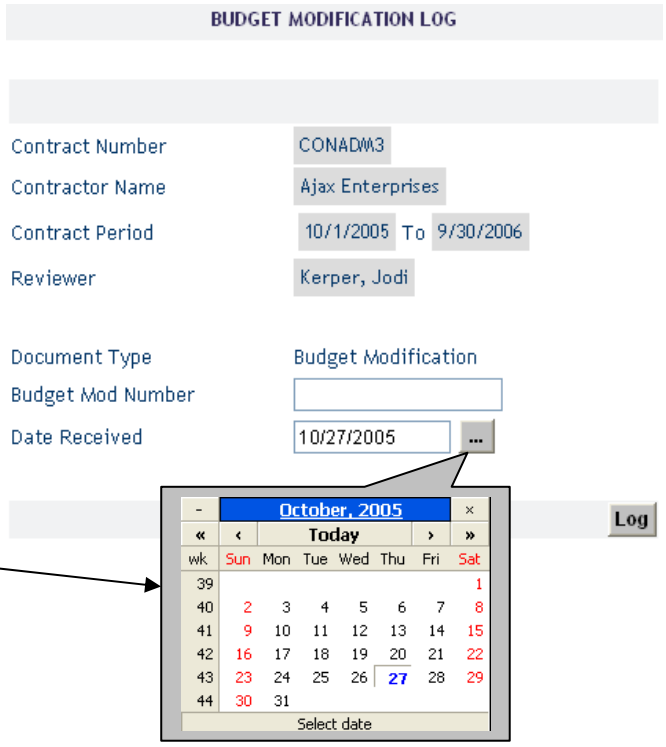
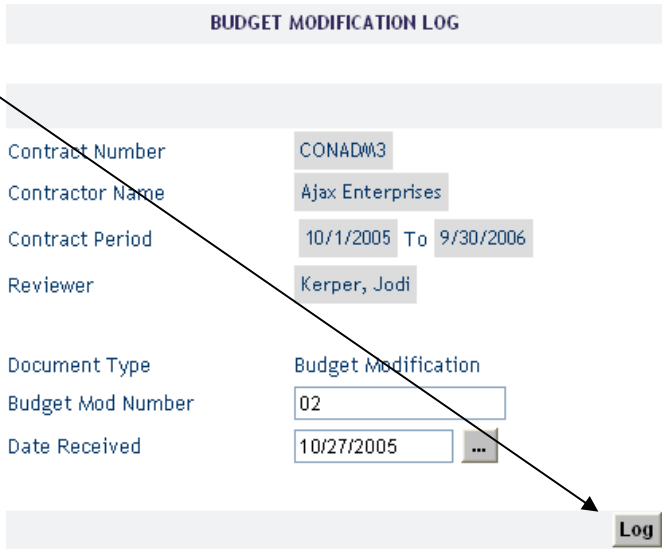
✓ Before you begin: Log into CMS.
Note: For training purposes, you will be working with the approved contract assigned to you by your instructor.

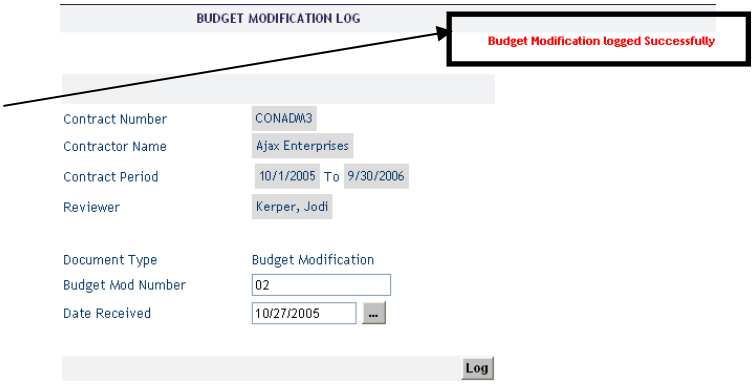
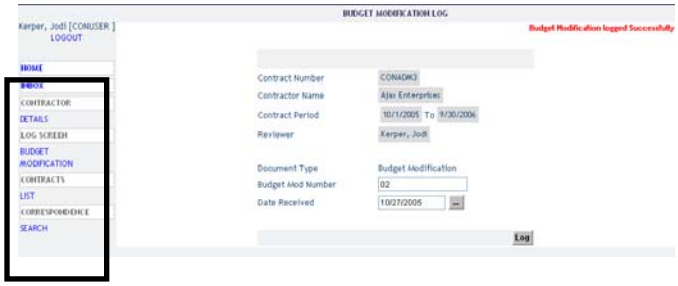
What You Do	*Comments/Prompts*
Locate the menu choices on the left side of the page.	
Click the **BUDGET MODIFICATION** link located under **LOG SCREEN**.	

What You Do	*Comments/Prompts*
The **Contract List** page is displayed, listing all contracts held by your organization that are in the system.	
Pay special attention to the **Status** and the **Contract Period** for the contract budget you wish to modify. You will need to choose an approved contract, as well as the correct contract period. Multiple contract periods may be displayed, depending on whether your contract period is renewed. You need to log your budget modification against the correct contract period. Click the **Log** link to log the budget modification request.	



CONTRACTOR	CONTRACT #	AWARD #	FED ID/MUNI CODE	AMOUNT	CONTRACT TERM	CONTRACT PERIOD	STATUS	ACTION
Ajax Enterprises	CONADM1		123456789	$10,000.00	10/01/2005 - 09/30/2010	10/01/2005 - 09/30/2006	In Process	Log
Ajax Enterprises	CONADM2		123456789	$10,000.00	10/01/2005 - 09/30/2010	[illegible]	[illegible]	Log
Ajax Enterprises	CONADM3		123456789	$10,000.00	10/01/2005 - 09/30/2010	10/01/2005 - 09/30/2006	Approved	Log

What You Do	*Comments/Prompts*
The **Budget Modification Log** page is displayed. Note that the name of the person logging the budget modification request is displayed in the Reviewer field. Notice that system automatically enters the current date as the Date Received. You may type in a different date (use the DD/MM/YYYY format), or you may click the **calendar button** ... to select a date from the pop-up calendar. **Calendar Navigation Note**: Use the chevrons (arrows) to move through the calendar. Click the double arrows pointing to the left to move back one year. Click the single arrow pointing to the left to move back one month. Click the single arrow pointing to the right to move forward one month. Use the double arrows pointing to the right to move forward one year. Click the desired date. This closes the calendar and automatically fills the **Date Received** field with your selected date.	
Enter the desired **Date Received**, and the **Budget Mod Number**. Budget Mod Numbers should be 2 numbers, sequential, starting with 01 and progressing to 99. You may not enter a **Date Received** value that is outside the contract period, or in the future. Click the **Log** button.	

What You Do	*Comments/Prompts*
The page is updated and a status message appears at the top right side of the page, indicating that you successfully entered the budget modfication request. Any error messages will appear at the top right side of the page. If you need assistance resolving the problem, contact your Program Manager. **Note**: Do not click the **Log** button again once you see the **Budget Modification logged Successfully** status message. You will not be able to log any other budget modifications against this contract period for the contract until this budget modification is completed. This completes the first step in the budget modification process, logging in the request. The first reviewer in the budget modification schedule, either you or another CMS user within your office, will receive an email message indicating that there is an item in the Inbox to be processed. You may use the navigation menu on the window to continue your work within CMS.	 

Processing a Budget Modification

Concepts >

Once the budget modification request is logged into CMS, the budget modification review schedule begins. An entry will appear in the Inbox for the first reviewer in the schedule (either you, or another person in your office). The reviewer has the initial responsibility for entering the budget modification details into the system and submitting the budget modification to the next person in the process.

Note: If you logged in the budget modification request and you know that you are the first person in the review schedule, you may wish to go to the Inbox to retrieve the Budget Modification Task (BUDMD) and immediately begin entering the budget modification details. Be aware that you will also receive an email notification, alerting you that you have an item in the Inbox to process.

The reviewer has the initial responsibility for enter the budget modification details into the system and submitting the budget modification to the next person in the schedule, usually a member of the Program office supervising your contract, or in the case of legislative contracts, a member of the BCM staff. This person will review the budget modification you filed and respond process it accordingly.

Note: If an OCFS staff person who is part of the review process has concerns about the budget modification request, they may send you Correspondence within CMS, noting these concerns and asking you to take appropriate action. As with all CMS Correspondence, you will receive an email notification that there is CMS Correspondence waiting for you to retrieve.

Entering Budget Modification Amounts

✓ Before you begin: Log in to CMS. You must be assigned to the current reviewer stage for the budget modification. If you have multiple CMS accounts (such as CONSIG and CONUSER), you will need to use the account that matches the role defined in the budget modification schedule (probably CONUSER). Access the Inbox.

What You Do	*Comments/Prompts*
1. Click the **BUDMD** task for your contract in the **Inbox** to open the Budget Modification form.	Notice that the log status is pending, indicating that the review stage needs to be performed.

CMS INBOX

TASK	CONTRACT	PROGRAM NAME	REVIEW STAGE	REVIEWER	LOG STATUS	STAGE DAYS REMAINING
BUDMD	CONADM3	Training - Department	With Contractor	Kerper, Jodi	Pending	1
RENEW	CONADM3	Training - Department	With Contractor	Kerper, Jodi	Pending	8
CTRCT	CONAD10	Training - Department	With Contractor	Kerper, Jodi	Pending	4
CTRCT	CONADM8	Training - Department	With Contractor	Kerper, Jodi	Pending	29

1

The Budget Modification request opens. This is where you will enter the budget changes.

What You Do	Comments/Prompts
The **Budget Modification** page displays. This is where you will enter the budget changes.	You will no longer need to send in a paper budget modification form. You will fill out the budget modification form directly within CMS.

BUDGET MODIFICATION

CONTRACT DETAILS

Contract Number CONADM3 Contractor Name Ajax Enterprises
Contract Period 10/01/2005 To 09/30/2006

NOTES show | hide

BUDGET MODIFICATION

Budget/Category	Budget Amount	Balance	Decrease	Increase	New Budget Amount	Local Share Matching Amount
Personal Services						
Personnel	9500.00	7500.00	0.00	0.00	9500.00	10000.00
Fringe Benefits	0.00	0.00	0.00	0.00	0.00	0.00
Sub Total	9500.00	7500	0.00	0.00	9500	10000
Non-Personal Services						
Contractual/Consultant	500.00	500.00	0.00	0.00	500.00	0.00
Travel/Per Diem	0.00	0.00	0.00	0.00	0.00	0.00
Equipment	0.00	0.00	0.00	0.00	0.00	0.00
Supplies	0.00	0.00	0.00	0.00	0.00	0.00
Other Expenses	0.00	0.00	0.00	0.00	0.00	0.00
Sub Total	500.00	500.00	0.00	0.00	500.00	0.00
Total	10000.00	8000.00	0.00	0.00	10000.00	10000.00

Send Correspondence | Notes | Cancel | Process

Enter the proposed **Decrease** and **Increase** amounts in the budget lines. Make sure you consider the **Local Share Matching Amount**, so that you abide by your contract's matching funds requirements.

Example:
Decrease **Personnel** by $1000
Increase **Contractual/Consultant** by $1000.
Edit the **Local Share Matching Amounts**, if necessary.

Note: When you enter a decrease or increase in one field, then move your cursor out of the field, the page automatically updates to display a warning message, indicating that the total increase amount must match the total decrease amount.

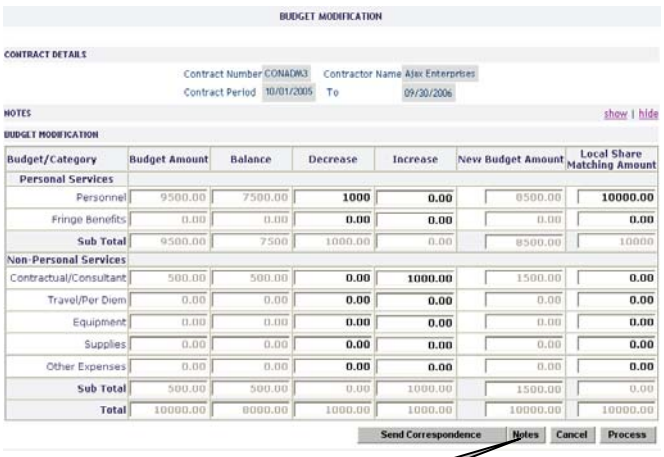
Total Amount Increase should be equal to Total amount Decrease

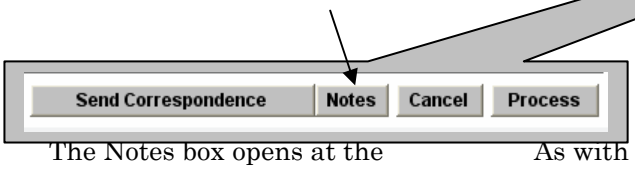
Increase	New Budget Amount	Local Share Matching Amount
0.00	8500.00	10000.00

What You Do

You must provide a justification for your budget modification. To do this, either add a Note to the budget modification, or send Correspondence about your budget modification. If necessary, send detailed budget pages as attachments within Correspondence. If you are providing the justification through Correspondence, you will need to make a Note indicating this. For assistance in sending Correspondence, refer to Chapter 4. To add a Note, click the **Notes** button at the bottom of the page and follow steps 4-7.

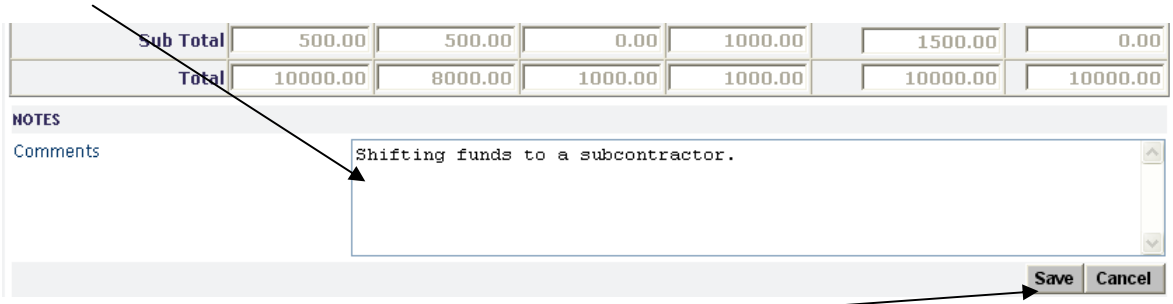
Comments/Prompts





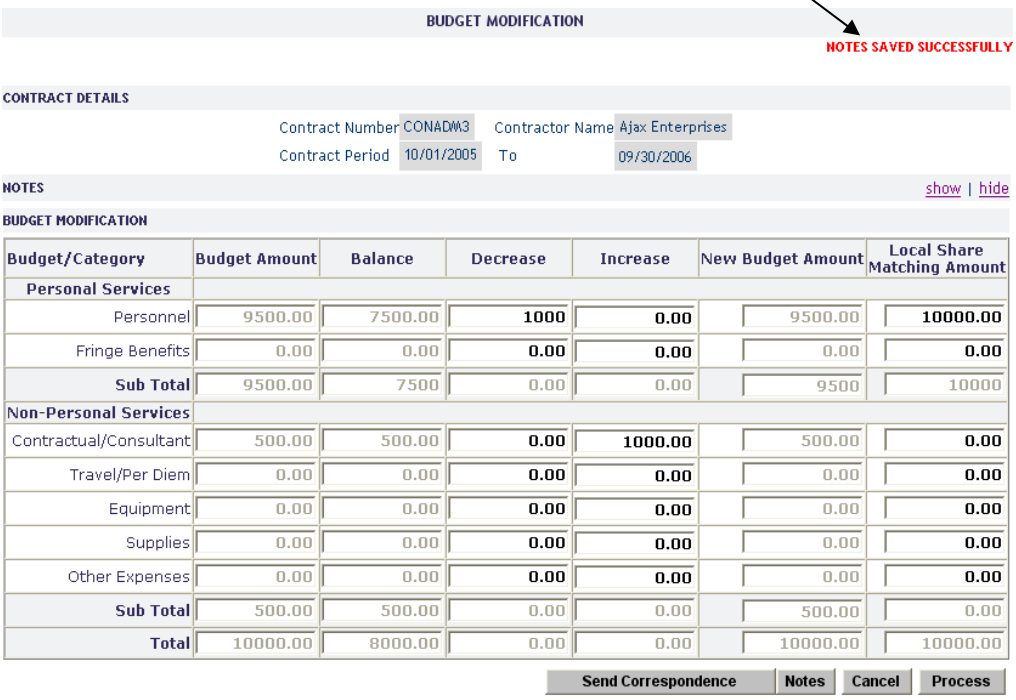
The Notes box opens at the bottom of the page. Type your note in the **Comments** field.

As with other text boxes in CMS, you cannot use the backspace key.



Click the **Save** button.

What You Do	Comments/Prompts
The **Note** is saved to the Budget Modification.	The status message at the top of the page indicates the Note was successfully saved.



BUDGET MODIFICATION

NOTES SAVED SUCCESSFULLY

CONTRACT DETAILS

Contract Number CONADM3 Contractor Name Ajax Enterprises
Contract Period 10/01/2005 To 09/30/2006

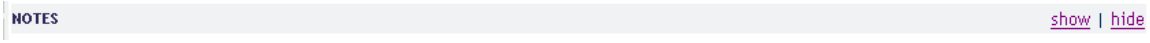
NOTES show | hide

BUDGET MODIFICATION

Budget/Category	Budget Amount	Balance	Decrease	Increase	New Budget Amount	Local Share Matching Amount
Personal Services						
Personnel	9500.00	7500.00	1000	0.00	9500.00	10000.00
Fringe Benefits	0.00	0.00	0.00	0.00	0.00	0.00
Sub Total	9500.00	7500	0.00	0.00	9500	10000
Non-Personal Services						
Contractual/Consultant	500.00	500.00	0.00	1000.00	500.00	0.00
Travel/Per Diem	0.00	0.00	0.00	0.00	0.00	0.00
Equipment	0.00	0.00	0.00	0.00	0.00	0.00
Supplies	0.00	0.00	0.00	0.00	0.00	0.00
Other Expenses	0.00	0.00	0.00	0.00	0.00	0.00
Sub Total	500.00	500.00	0.00	0.00	500.00	0.00
Total	10000.00	8000.00	0.00	0.00	10000.00	10000.00

Send Correspondence | Notes | Cancel | Process

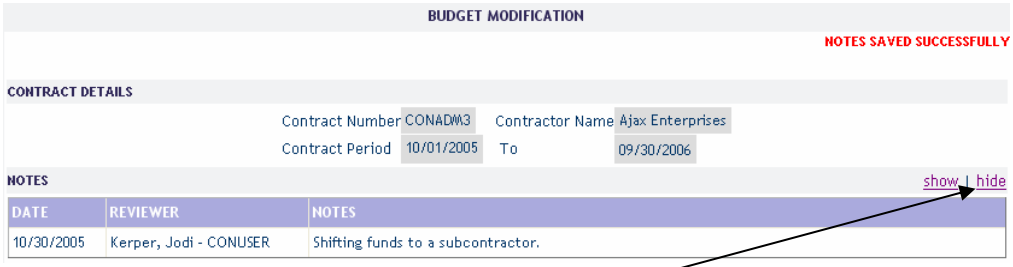
To view your **Note**, click the **show** link in the **Notes** table.



NOTES show | hide

The **Notes** table is displayed at the top of the page.

Notice that the table indicates the identity of the person adding the note. Any OCFS persons reviewing the Budget Modification will be able to see the note and that you submitted it, so that they may contact you if they have questions.



BUDGET MODIFICATION

NOTES SAVED SUCCESSFULLY

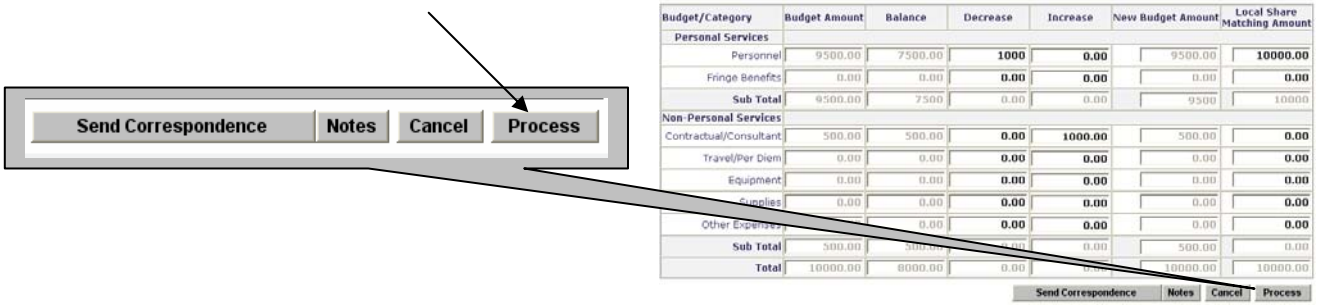
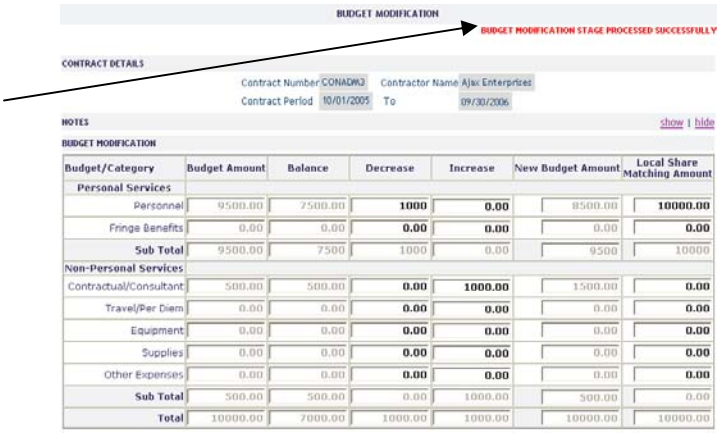
CONTRACT DETAILS

Contract Number CONADM3 Contractor Name Ajax Enterprises
Contract Period 10/01/2005 To 09/30/2006

NOTES show | hide

DATE	REVIEWER	NOTES
10/30/2005	Kerper, Jodi - CONUSER	Shifting funds to a subcontractor.

You may hide the note from view by clicking the **hide** link.

What You Do	*Comments/Prompts*
When you have completed all the information you need to enter in the Budget Modification, click the **Process** button.	
A status message in the upper right corner of the page will indicate if the budget modification entries you made were successfully saved, and sent to the next person in the review schedule, such as your Program Manager. **Note**: The Budget Modification has been removed from your Inbox. If your Budget Modification is rejected by OCFS, you will receive CMS Correspondence reflecting this, with directions for the appropriate actions to take.	

Researching a Budget Modification

Once the budget modification request has moved beyond your review stage and is gone from your Inbox, you will need to use the Budget tab from the Contract Details page to learn more about the status of the budget modification. For additional information, review Task B-4 in Chapter 6.

C H A P T E R 8

Online Claims

Topics

a Logging a Claim

Entering a New Expenditure

Entering a New Advance

b Signing a Claim

c Viewing Claim History

Chapter 8: Managing Expenditures

Understanding the Online Claim Process

Overview >

Historically, contractors completed paper vouchers or claim forms which they mailed to OCFS to initiate the payment of an advance or reimbursement of an expenditure. CMS affords contractors the ability to submit claims online, thereby expediting the payment process.

Advances and Expenditures against OCFS contracts are electronically entered to CMS. This is referred to as "logging a claim." Any user (except for those with read-only privileges) can log a claim. To do so, the user must click the *Claim* link under the *Log Screen* menu on the left, click on the log link corresponding to the contract period the claim is against, and complete the fields on the expenditure report log screen. Once logged, claim tasks are assigned a schedule and can only be processed by users who are logged in as the role assigned to the various stages.

CMS online claiming functionality incorporates the necessary flexibility to accommodate variation amongst contractors in the procedures for preparing and submitting claims. Specifically, the online claiming process begins with the contractor logging a claim, which is in turn processed through an online task schedule. OCFS can tailor the task schedule and the role assigned to each stage on a contractor by contractor basis.

In the simplest scenario, the CMS schedule will have one stage that is assigned to a staff member who has the legal authority to sign/authorize claims on behalf of the agency. A new CMS ClaimSig role has been created expressly for this purpose. After the claim is logged, the ClaimSig will enter the claim detail and complete the stage, thereby electronically signing the claim and submitting it to OCFS for payment.

The CMS schedule can also be expanded to accommodate organizations wherein claims are prepared by project staff and, thereafter, forwarded to a financial officer who has the legal authority to sign/authorize the transaction. This scenario also begins with the claim being logged. Thereafter, the claim advances to the first stage of the schedule, wherein project staff enters the claim detail. The claim then advances to the second stage of the schedule, in which the ClaimSig electronically signs/authorizes the transaction and submits it for payment.

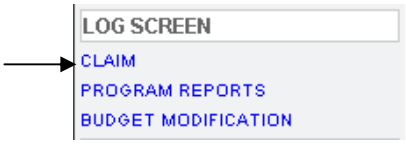
Although claims can be logged by any of the CMS users associated with the contract, they can only be signed /authorized by the ClaimSig user role. If a ClaimSig account has yet to be established for your organization, a Claim Signatory CMS Authorization form will have to be completed.

Submitting a Claim

Logging an Expenditure

The first step in the online claim process within CMS is to log in the request. This provides a starting point for the process. You will locate your contract and applicable contract period, and then log an online claim request against it. This will create an EXPEND contract task.

✓ Before you begin: Log into CMS.

What You Do	*Comments/Prompts*
From the main menu, click the **CLAIM** link under the **LOG SCREEN** heading.	

The Contract List screen will display all of the contracts (with periods) that you have with the NYS OCFS.

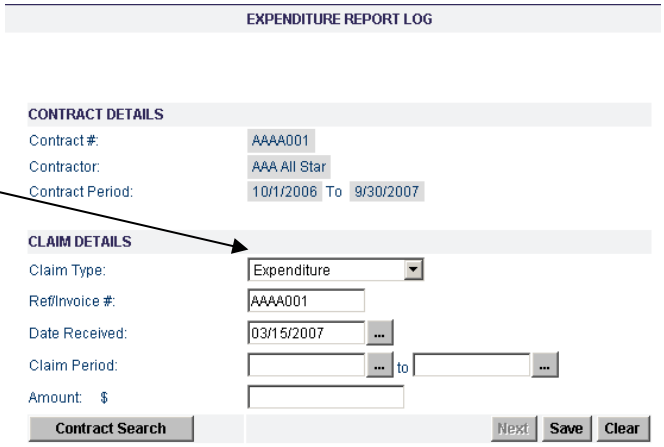
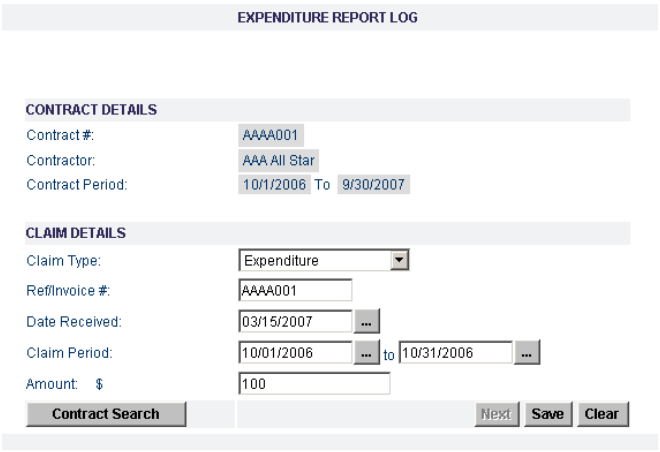
Locate the contract ***and*** period for which you want to log an expenditure and click on the **Log link** (in the action column) for that contract period.

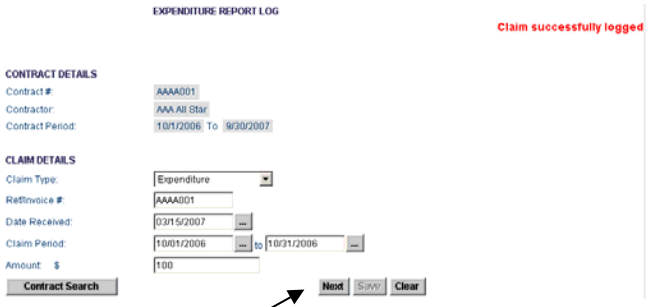
CONTRACT LIST

CONTRACTOR	CONTRACT #	AWARD #	FED ID/MUNI CODE	AMOUNT	CONTRACT TERM	CONTRACT PERIOD	STATUS	ACTION
AAA All Star	TM04E10	42555	123456789	$5,000.00	04/01/2004 - 03/31/2005	04/01/2004 - 03/31/2005	In Process	Log
AAA All Star	OSC0003		123456789	$10,000.00	03/01/2007 - 02/28/2011	03/01/2009 - 02/28/2010	Approved	Log
AAA All Star	SALMO03		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2007 - 04/01/2008	In Process	Log
AAA All Star	SALMO05		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2006 - 03/31/2007	Approved	Log
AAA All Star	DT00000		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2006 - 03/31/2007	In Process	Log
AAA All Star	SALMO05		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2007 - 03/31/2008	Approved	Log
AAA All Star	AAA0002		123456789	$10,000.00	09/01/2006 - 08/31/2011	09/01/2006 - 08/31/2007	Approved	Log
AAA All Star	AAA0003		123456789	$10,000.00	09/01/2006 - 08/31/2011	09/01/2006 - 08/31/2007	Approved	Log
AAA All Star	CLAIM11	cl	123456789	$10,000.00	09/01/2006 - 08/31/2011	09/01/2006 - 08/31/2007	In Process	Log
AAA All Star	CCCCC01		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Closed	Log
AAA All Star	AAAA001		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	AAAA002		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	AAAA004		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	AAAA003		123456789	$10,000.00	10/01/2006 - 12/01/2012	10/01/2006 - 12/01/2012	Approved	Log
AAA All Star	AAAH005		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	In Process	Log
AAA All Star	PROG002		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	PROG003		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 12/31/2007	Approved	Log
AAA All Star	PROG003		123456789	$5,000.00	10/01/2006 - 01/31/2010	01/01/2008 - 12/31/2008	In Process	Log
AAA All Star	PROG004		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	PROG005		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	Approved	Log

1 2 3

Note: If you have numerous contracts and periods, your information may be displayed on more than one screen. If needed, use the page number links at the bottom left of the list to view additional pages of contracts.

What You Do	*Comments/Prompts*
The Expenditure Report Log page will display.	
The **Claim Type** should be set to **Expenditure** by default. If not, select it using the **Claim Type** drop-down list. Since different rules govern expenditures versus advances, insure the correct type has been selected.	
	Note: The system automatically enters the current date as the *Date Received*.
The **Ref/Invoice #** defaults to the contract number. You can enter a different note if needed (such as your voucher invoice #). The **Date Received** defaults to today's date. Enter the **Claim Period** and the **Amount** of the claim. You can use the ... button to open the calendar to select the period dates. Click the **Save** button to save your data and log the claim.	
	Note: The Claim Period can be any date equal to or after the start date of the contract period, and equal to or before the end of the contract. In general, the start of the claim period is not greater than the current date. There are exceptions however, such as rental claim periods which can be in the future.

What You Do	*Comments/Prompts*
A status message appears at the top of the page indicating that you successfully logged your claim.	
If you violated any of the system rules while trying to save the expenditure, a popup would appear, identifying the error and asking you to correct it. Fix the error and click the **Save** button to log the claim correctly.	
To continue processing the claim, click the **Next** button to navigate to the *Expenditure Report* page.	
After the *Expenditure Report* page is displayed, if you are not logged in as the role assigned to the next stage in the schedule, the message "Sorry, invalid privileges to process this stage!" is displayed. You will not be able to process the expenditure any further. To determine to what role the task is assigned to click on the Schedule Information link. To exit the *Expenditure Report* Click on the Home menu item to return to the home page.	

Reviewing the Expenditure Report

At the top of the *Expenditure* Report, general contract information is displayed. On the center of the screen, links to Schedule Information and Expenditure Edits are displayed.

To review the expenditure's schedule, click on the Schedule Information command button.

Note: The current example displays a two stage scenario in which project staff (ConUser) enters the claim detail and forwards the claim to staff with the authority to sign/authorize the transaction (ClaimSig).

To review system edits that will be applied to this transaction, click on the Expenditure Edits link.

SCHEDULE INFORMATION SCHEDULE HISTORY EXPENDITURE EDITS

REVIEW STAGE	REVIEWER	ROLE	START DATE	END DATE	SCHEDULED DAYS	ACTUAL DAYS	REVIEW STATUS	PROCESSED BY
With Contractor	Finch, Scout	CONUSER	4/8/2008	4/8/2008	5	0	Complete	Scout Finch
Package to Contractor for Signature	Radley, Boo	CLAIMSIG	4/8/2008	4/8/2008	5	0	Complete	Boo Radley
Program1	Gaudette, Bill	PROGRAM	4/8/2008		3	0	Pending	
Program2	Gaudette, Bill	PROGRAM			5			
BCM1	Gaudette, Bill	BCM			10			
BCM2	Gaudette, Bill	BCMADMIN			4			
PaymentCalc	Gaudette, Bill	BCM			2			
PaymentCoding	Gaudette, Bill	BCM			6			

SCHEDULE INFORMATION EXPENDITURE EDITS

LOCAL MATCH %	ADMIN CEILING %	BUDGET MOD RULE %
		May exceed category by 10% or $1000, whichever is greater

The lower half of the *Expenditure Report* screen show the contract's budget and previous approved expenditures by budget category. The amount that was logged appears in the **Total** row at the bottom of the screen. You can change this value if you decide to claim more or less than you originally expected.

If you are logged in as the role that is assigned to this stage of the expenditure, you will need to enter the claim detail in the appropriate **Expen Amt** column boxes and process the claim as described in the next section.

BUDGET CATEGORY	BUDGET AMT	PREV APPROVED EXPEN AMT	EXPEN AMT	MANUAL ADJUSTMENT **CLICK BUTTON TO ENTER DISALLOWANCE REASON	SYSTEM DISALLOWANCE	ADJUSTED EXPEN	TOTAL EXPEN TO DATE	BAL
Personal Services								
Personnel	$1,000.00	$0.00	500.00	0.00 Reason	$0.00	$500.00	$500.00	$500.00
Fringe Benefits	$0.00	$0.00	0.00	0.00 Reason	$0.00	$0.00	$0.00	$0.00
Subtotal	$1,000.00	$0.00	500.00	0.00	$0.00	$500.00	$500.00	$500.00
Non-Personal Services								
Contractual/Consultant	$0.00	$0.00	0.00	0.00 Reason	$0.00	$0.00	$0.00	$0.00
Travel/Per Diem	$0.00	$0.00	0.00	0.00 Reason	$0.00	$0.00	$0.00	$0.00
Program Supplies	$0.00	$0.00	0.00	0.00 Reason	$0.00	$0.00	$0.00	$0.00
Utilities	$0.00	$0.00	0.00	0.00 Reason	$0.00	$0.00	$0.00	$0.00
Rent	$0.00	$0.00	0.00	0.00 Reason	$0.00	$0.00	$0.00	$0.00
Equipment	$0.00	$0.00	0.00	0.00 Reason	$0.00	$0.00	$0.00	$0.00
Other Expenses	$0.00	$0.00	0.00	0.00 Reason	$0.00	$0.00	$0.00	$0.00
Subtotal	$0.00	$0.00	0.00	0.00	$0.00	$0.00	$0.00	$0.00

Links to additional information are shown at the bottom of the screen.

Claim History displays a listing of all claims for the selected contract period.

Claim Details shows when the expenditure was submitted, its processing history, etc.

Correspondence links to the module used to communicate with your OCFS Program Staff.

Upload Claim Documents is used to upload any necessary claim documentation.

Log Program Report is used to add a program report that is needed to be submitted with the expenditure.

Program Reports displays information about all uploaded program reports.

Processing the Expenditure Report

Before beginning make certain that you are logged in pursuant to the CMS User role assigned to the current schedule stage. Note that if you are not logged in accordingly the message "Invalid Privledges to process this stage" will be displayed,

For each budget Category against which you intend to claim, update the Corresponding **Expenditure AMT** field.

After all of the necessary information has been entered to the Expenditure Report page, click the **Run Edit** button at the bottom of the page.

Note: The Run Edit command button will perform system checks. It will compare what was entered against the budget and claiming rules for the contract. For example, you might have an administrative expense ceiling of 10% on your contract, but the submitted claim amount lists administrative charges in excess of this amount. The system would advise you of this.

If you do not get any error messages after hitting Run Edit, you can now **Process** the expenditure.

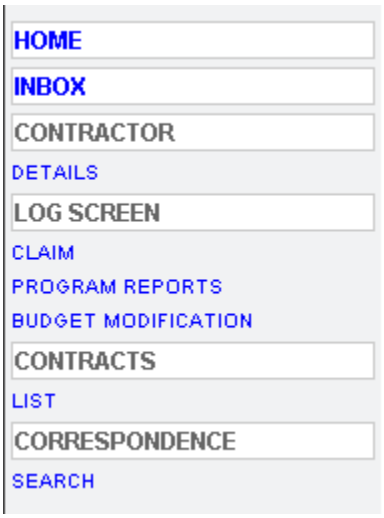
A message indicating that your expenditure was successfully processed will appear, and the expenditure will advance to the next stage of the schedule.

If a Program Report is due for the claim period for which an expenditure is being submitted a message in the top right corner of the screen will state "Program Report Required." The claim can be processed through the contractor role stages, but the claim will not be paid until the Program Report has been submitted and approved by the OCFS Program Manager.

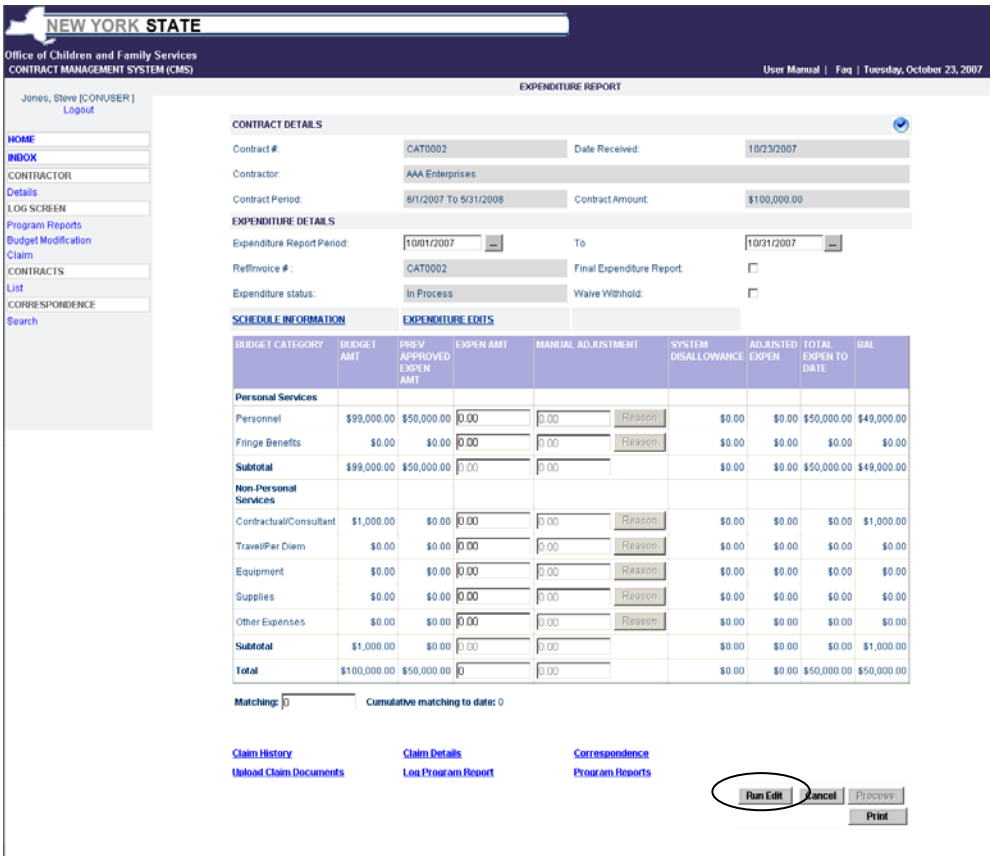
Signing the Expenditure Report

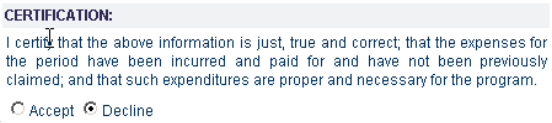
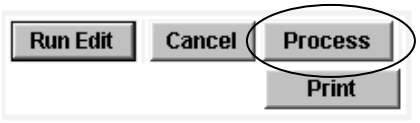
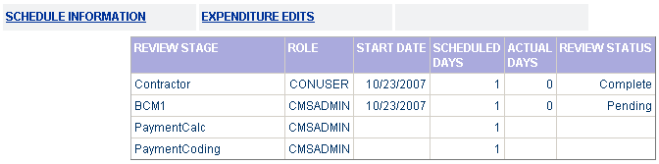
As was the case with offline or paper expenditures, online expenditures must be signed by a staff member that has the legal authority to submit a claim on behalf of the organization before they can be submitted to OCFS for reimbursement. The ClaimSig will access the expenditure contract task from the inbox, review, and then electronically approve or reject the claim.

✓ Before you begin: Log into CMS.

What You Do	*Comments/Prompts*
From the main menu, click the **INBOX** link.	
Select the Expenditure you want to sign by clicking the **EXPEN** link in the *Task* column. You will see in the *Reviewer* column, both the name and role assigned to the task. Typically this will be a contractor reviewer with the **ClaimSig** role depending on how your contract's schedule is set up.	

What You Do	Comments/Prompts
The *Expenditure Report* screen displays for your review. Once you have completed your review to confirm that the figures are correct, hit the **Run Edit** button. This will check the claim for calculation errors or rules violations.	

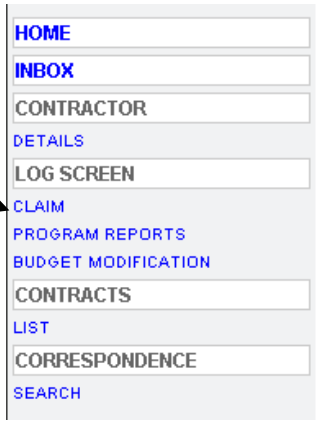


What You Do	Comments/Prompts
If you do not get any error messages after clicking Run Edit, a **Certification** section will appear at the bottom of the screen. This is the equivalent of signing the expenditure on paper.	
To "sign" the expenditure, click the **Accept** button.	If you have any issues that would prevent you from signing the expenditure, leave the **Decline** button checked and either correct the issues or contact your Program Manager via the **Correspondence** Module whose link is displayed at the bottom of the screen.
If you did receive an error message after clicking the **Run Edit** button, correct the error if possible, then click the **Run Edit** button again. If you cannot resolve the issue, contact your Program Manager via the **Correspondence** Module whose link is displayed at the bottom of the screen.	
After you click the **Accept** button to electronically sign the claim, the **Process** button in the lower right corner will be enabled, allowing you to complete this stage of the claim's processing.	
Click the **Process** button.	
You will then see a message that your claim completed its current stage.	
By selecting the **Schedule Information** link, you can see that the claim has been signed by you and where the claim is in the approval process. The current stage and which role is assigned it will appear with a *Pending* status.	 REVIEW STAGE / ROLE / START DATE / SCHEDULED DAYS / ACTUAL DAYS / REVIEW STATUS Contractor / CONUSER / 10/23/2007 / 1 / 0 / Complete BCM1 / CMSADMIN / 10/23/2007 / 1 / 0 / Pending PaymentCalc / CMSADMIN / / 1 / / PaymentCoding / CMSADMIN / / 1 / /

Logging an Advance

As with processing an expenditure, the first step in processing an advance is to log the request. This provides a starting point for the process. You will locate your contract and applicable contract period, and then log an online claim request against it. At the expenditure report page, instead of selecting a claim type of Expenditure, you will select a claim type of Advance. This will create an ADVANCE contract task.

✓ Before you begin: Log into CMS.

What You Do	*Comments/Prompts*
From the main menu, click the **CLAIM** link under the **LOG SCREEN** heading.	

The Contract List screen will display.

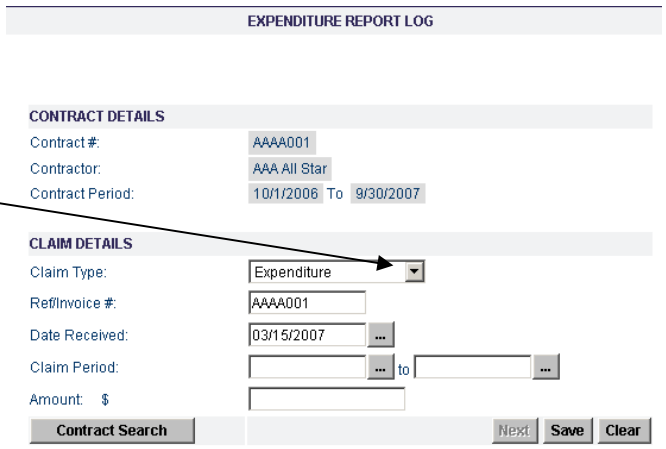
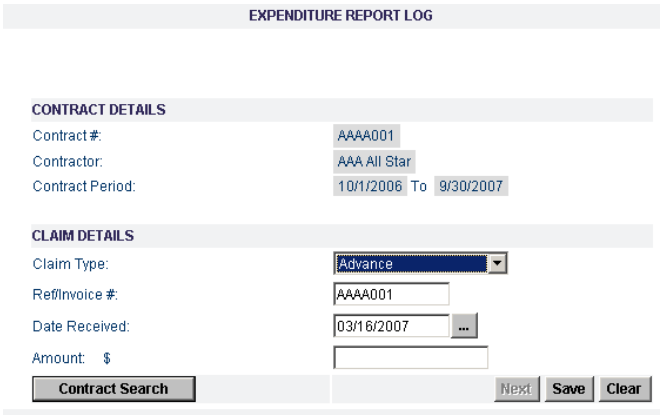
Locate the contract ***and*** period for which you want to log an advance and click

CONTRACT LIST

CONTRACTOR	CONTRACT #	AWARD #	FED ID/MUNI CODE	AMOUNT	CONTRACT TERM	CONTRACT PERIOD	STATUS	ACTION
AAA All Star	TM04E10	42555	123456789	$5,000.00	04/01/2004 - 03/31/2005	04/01/2004 - 03/31/2005	In Process	Log
AAA All Star	OSC0003		123456789	$10,000.00	03/01/2007 - 02/28/2011	03/01/2009 - 02/28/2010	Approved	Log
AAA All Star	SALMO03		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2007 - 04/01/2008	In Process	Log
AAA All Star	SALMO05		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2006 - 03/31/2007	Approved	Log
AAA All Star	DT00000		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2006 - 03/31/2007	In Process	Log
AAA All Star	SALMO05		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2007 - 03/31/2008	Approved	Log
AAA All Star	AAA0002		123456789	$10,000.00	09/01/2006 - 08/31/2011	09/01/2006 - 08/31/2007	Approved	Log
AAA All Star	AAA0003		123456789	$10,000.00	09/01/2006 - 08/31/2011	09/01/2006 - 08/31/2007	Approved	Log
AAA All Star	CLAIM11	cl	123456789	$10,000.00	09/01/2006 - 08/31/2011	09/01/2006 - 08/31/2007	In Process	Log
AAA All Star	CCCCC01		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Closed	Log
AAA All Star	AAAA001		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	AAAA002		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	AAAA004		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	AAAA003		123456789	$10,000.00	10/01/2006 - 12/01/2012	10/01/2006 - 12/01/2012	Approved	Log
AAA All Star	AAAH005		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	In Process	Log
AAA All Star	PROG002		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	PROG003		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 12/31/2007	Approved	Log
AAA All Star	PROG003		123456789	$5,000.00	10/01/2006 - 01/31/2010	01/01/2008 - 12/31/2008	In Process	Log
AAA All Star	PROG004		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	PROG005		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	Approved	Log

1 2 3

Note: If you have numerous contracts and periods, your information may be displayed on more than one screen. If needed, use the page number links at the bottom left of the list to view additional pages of contracts.

What You Do	Comments/Prompts
The *Expenditure Report Log* page displays.	
The **Claim Type** is set to *Expenditure* by default. Change this to **Advance** by using the **Claim Type** drop-down list. Since different rules govern expenditures versus advances, insure the correct type has been selected.	
The fields in the *Claim Details* area change to show those needed for an advance. The **Ref/Invoice #** defaults to the contract number. You can enter a different note if needed (such as an invoice number). Enter the **Advance Amount** and click the **Save** button to save your data and enter the claim.	 **Note:** The **Date Received** defaults to today's date.
A message will display stating that your claim was successfully logged. Click the **Next** button to move to Advance Payment Calculation screen. Continue processing your transaction.	

Processing the Advance Payment Calculation

The Advance Payment Calculation page is used to view and process details about the advance.

The *Advance Payment Calculation* screen displays. Depending on the schedule for processing advances assigned to your contract, you may or may not be able to enter information into this screen.

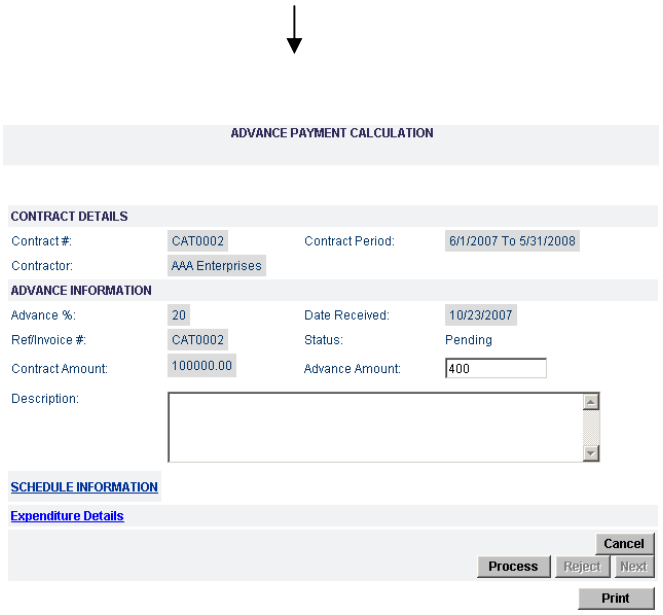
If necessary, you can change the **Advance Amount**. Enter a **Description** for the advance.

The **Schedule Information**, link displays the current schedule for this claim.

The **Expenditure Details** link goes to the *Expenditure Report History Details* screen which shows further information about this claim as it comes available.

After you have completed all necessary fields, click the **Process** button.

Note: Before beginning, make certain that you are logged in pursuant to the CMS user role assigned to the current schedule stage. If you are not logged in accordingly, the message "Insufficient Privileges to access this screen" will be displayed.



A message will display stating that your claim was successfully processed.

Refer to the section in this chapter on *Viewing Claim History* if you would like to see in which stage your claim is after you have logged it.

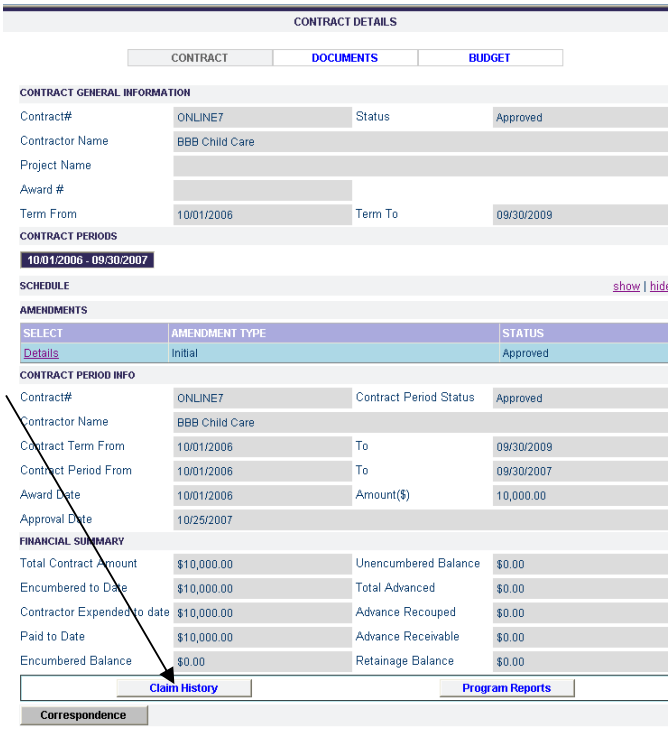
Note: Unlike online expenditures, online advances do not require an electronic signature. Rather, CMS maintains a record of the ClaimSig's authorization of the transaction via the CMS task schedule.

Viewing Claim History

History about pending and processed claims is maintained within CMS. You can access this information via the contracts screens.

Viewing Claim History

✓ Before you begin: Log into CMS.

What You Do	*Comments/Prompts*
From the main menu, click the **List** link under the CONTRACTS section.	
Select the link for the contract whose claim history you want to view	
Click on the **Claim History** button on the *Contract Period Info* tab.	

CONTRACT LIST

CONTRACT #	CONTRACTOR	AWARD #	PROJECT NAME	FED ID/MUNI CODE	AMOUNT	TERM AMOUNT	CONTRACT TERM
OCPR012	BBB Child Care			123456789	$100,000.00	$100,000.00	10/01/2006 - 09/30/2009
OCPR016	BBB Child Care			123456789	$100,000.00	$100,000.00	10/01/2006 - 09/30/2009
OCPR020	BBB Child Care			123456789	$100,000.00	$100,000.00	10/01/2006 - 09/30/2009
AP00002	BBB Child Care			123456789	$100,000.00	$100,000.00	10/13/2006 - 10/12/2012
C025103	BBB Child Care			123456789	$100,000.00	$100,000.00	10/01/2006 - 09/30/2007

CONTRACT DETAILS

CONTRACT | DOCUMENTS | BUDGET

CONTRACT GENERAL INFORMATION

Contract#	ONLINE7	Status	Approved
Contractor Name	BBB Child Care		
Project Name			
Award #			
Term From	10/01/2006	Term To	09/30/2009

CONTRACT PERIODS

10/01/2006 - 09/30/2007

SCHEDULE show | hide

AMENDMENTS

SELECT	AMENDMENT TYPE	STATUS
Details	Initial	Approved

CONTRACT PERIOD INFO

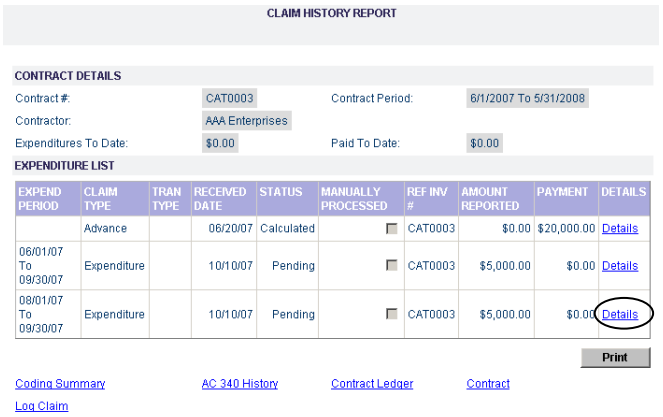
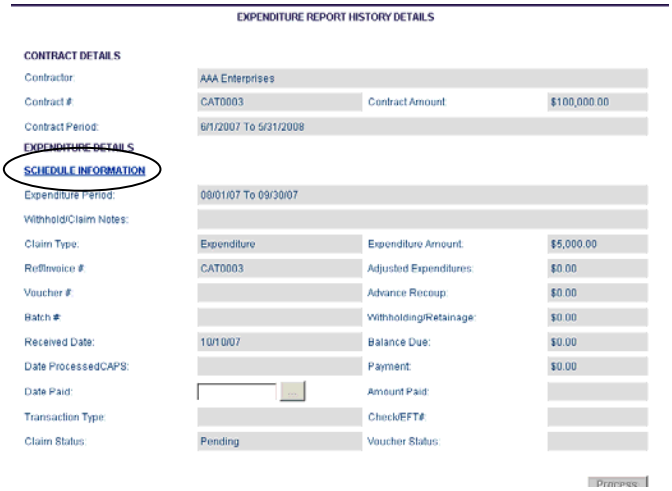
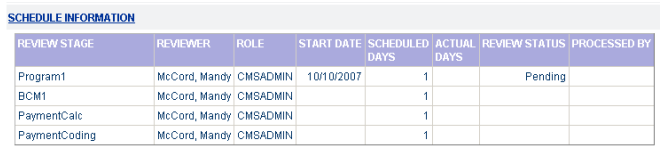
Contract#	ONLINE7	Contract Period Status	Approved
Contractor Name	BBB Child Care		
Contract Term From	10/01/2006	To	09/30/2009
Contract Period From	10/01/2006	To	09/30/2007
Award Date	10/01/2006	Amount($)	10,000.00
Approval Date	10/25/2007		

FINANCIAL SUMMARY

Total Contract Amount	$10,000.00	Unencumbered Balance	$0.00
Encumbered to Date	$10,000.00	Total Advanced	$0.00
Contractor Expended to date	$10,000.00	Advance Recouped	$0.00
Paid to Date	$10,000.00	Advance Receivable	$0.00
Encumbered Balance	$0.00	Retainage Balance	$0.00

Claim History | Program Reports

Correspondence

What You Do	Comments/Prompts
The *Claim History Report* screen appears displaying high level information about all of the claims submitted against this contract. To see details about a specific claim, click the **Details** link in the *Expenditure List* table.	
The Expenditure Report History Details screen appears showing details about the claim. You can check to see where in the process the claim is by clicking on the **Schedule Information** link	
The pending stage for this claim is displayed along with information on the reviewers, roles and dates.	

C H A P T E R 9

Program Reports - Online

Topics

a Logging a Program Report

b Processing a Program Report

c Viewing Program Reports from the Contract Screens

Chapter 9: Program Reports - Online

Overview > Many NYS OCFS contracts require that program reports be submitted to OCFS throughout the contract period. Program reports are sometimes a requirement for a payment of a claim, but are often sent in by a contractor staff member who differs from the one who submits the claims for their organization. As such, there is potential for a disconnect between the two processes, which can lead to a longer wait time for the payment of a claim.

The CMS Program Reports module is designed to expedite program report processing by setting up schedules for when program reports are due, tracking the submission and approval of program reports, and when necessary linking program report approvals to the payment of a claim. This tracking of program reports facilitates the payment of claims by letting all who are involved know the status of program reports submissions and approvals that may affect if and when claims can be paid.

With CMS, online contractors can complete and submit program reports electronically. As with other contract tasks, program reports may have interactive and downloadable contract documents associated to them. Any additional files necessary to satisfy program report requirements may also be uploaded.

Much like managing contracts, renewals and expenditures; the program report is managed through a schedule, the Inbox, and the Program Report Review Module.

There are three different program report types: Interim, Supplemental and Final. Interim and Final program reports are scheduled reports with due dates.

- **Interim** reports are due on periodic intervals such as monthly or quarterly.
- **Final** reports are a contract period's last report, typically due a certain number of days after the contract period's end date.
- **Supplemental** reports are intended to amend or supplement existing reports and are not scheduled.

Understanding the Program Report Process

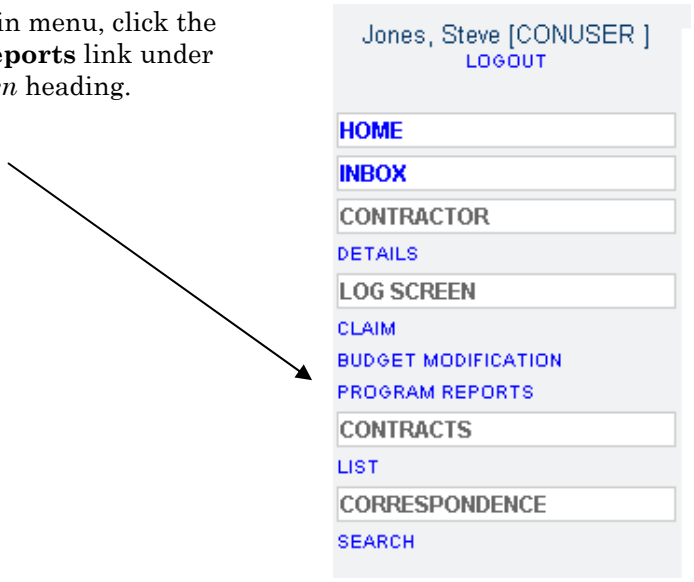
The ability to log and manage program reports online is now extended to contractors. Instead of sending the paper forms to OCFS, you will log your program report directly within CMS. Program reports can be logged by any CMS user by selecting the *Program Reports* link from the *Log Screen* menu item. As with other contract tasks program reports are assigned a schedule with multiple stages that must be completed. Each stage in the schedule is assigned to a user role. Program report tasks can only be processed by users who are logged in as the role assigned to the various stages.

Logging the program report launches a program report review task (referred to within the Inbox as PROGREP). You, or someone in your office who is assigned to the program report review task within the system will then enter the program report data. You will submit this data to OCFS through the system, where it will be reviewed by internal OCFS CMS users.

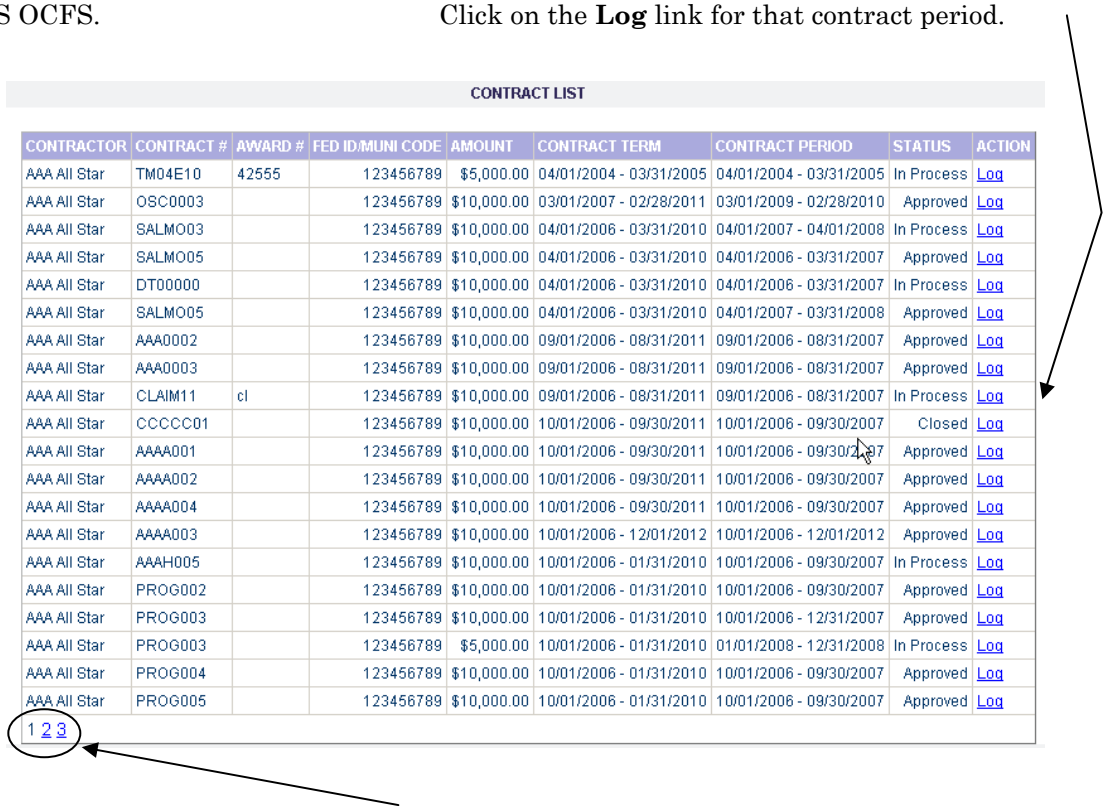
Logging a Program Report

The first step in the online Program Report process within CMS is to log in the request. This provides a starting point for the process You will locate your contract and applicable contract period, and then log a program report request against it.

✓ Before you begin: Log into CMS.

What You Do	*Comments/Prompts*
From the main menu, click the **Program Reports** link under the *Log Screen* heading.	

What You Do	Comments/Prompts
The Contract List screen will display all of the contracts, with periods, that you have with the NYS OCFS.	Locate the contract ***and*** period for which you want to log a program report. Click on the **Log** link for that contract period.

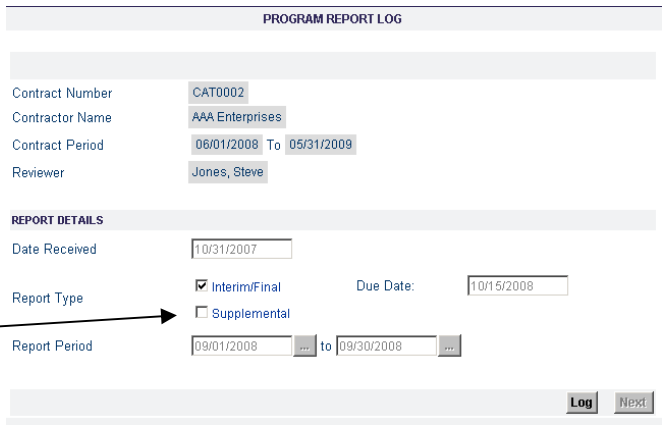


CONTRACT LIST

CONTRACTOR	CONTRACT #	AWARD #	FED ID/MUNI CODE	AMOUNT	CONTRACT TERM	CONTRACT PERIOD	STATUS	ACTION
AAA All Star	TM04E10	42555	123456789	$5,000.00	04/01/2004 - 03/31/2005	04/01/2004 - 03/31/2005	In Process	Log
AAA All Star	OSC0003		123456789	$10,000.00	03/01/2007 - 02/28/2011	03/01/2009 - 02/28/2010	Approved	Log
AAA All Star	SALMO03		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2007 - 04/01/2008	In Process	Log
AAA All Star	SALMO05		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2006 - 03/31/2007	Approved	Log
AAA All Star	DT00000		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2006 - 03/31/2007	In Process	Log
AAA All Star	SALMO05		123456789	$10,000.00	04/01/2006 - 03/31/2010	04/01/2007 - 03/31/2008	Approved	Log
AAA All Star	AAA0002		123456789	$10,000.00	09/01/2006 - 08/31/2011	09/01/2006 - 08/31/2007	Approved	Log
AAA All Star	AAA0003		123456789	$10,000.00	09/01/2006 - 08/31/2011	09/01/2006 - 08/31/2007	Approved	Log
AAA All Star	CLAIM11	cl	123456789	$10,000.00	09/01/2006 - 08/31/2011	09/01/2006 - 08/31/2007	In Process	Log
AAA All Star	CCCCC01		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Closed	Log
AAA All Star	AAAA001		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	AAAA002		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	AAAA004		123456789	$10,000.00	10/01/2006 - 09/30/2011	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	AAAA003		123456789	$10,000.00	10/01/2006 - 12/01/2012	10/01/2006 - 12/01/2012	Approved	Log
AAA All Star	AAAH005		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	In Process	Log
AAA All Star	PROG002		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	PROG003		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 12/31/2007	Approved	Log
AAA All Star	PROG003		123456789	$5,000.00	10/01/2006 - 01/31/2010	01/01/2008 - 12/31/2008	In Process	Log
AAA All Star	PROG004		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	Approved	Log
AAA All Star	PROG005		123456789	$10,000.00	10/01/2006 - 01/31/2010	10/01/2006 - 09/30/2007	Approved	Log

1 2 3

Note: If you have numerous contracts and periods, your information will be displayed on more than one screen. If needed, use the page number links at the bottom left of the list to view other pages of contracts.

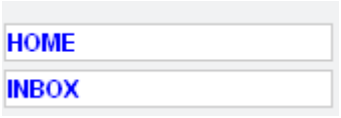
What You Do	Comments/Prompts
The Program Report Log screen will appear. By default, the report log page will display information about the next scheduled interim or final program report due. The Report Period will be listed and will not be editable. If you want to log a supplemental (unscheduled) report, click the Supplemental button. This will allow you to adjust the dates and enter a different report period for the report. Once all details are correct, log the report by clicking the Log button. A message will display, informing you that the report was successfully logged. If your user role allows, you can continue processing the program report, by clicking the Next button on the bottom right of screen. The Program Report Review Module screen will display which is explained in the next section.	 **Note**: The system automatically enters the current date as the *Date Received*. **Note**: If you are logged in as ConSig, you will only be allowed to log the report. To complete the processing of the program report, you must be logged in as ConUser.

Processing a Program Report

The program report is processed through the Program Report Review Module screen. The Program Report Review Module can be accessed in two ways. With the appropriate user role, the Program Report Review Module can be accessed from the log screen by selecting the Next button at the bottom of the screen. The Program Report Review Module screen can also be accessed from the CMS Inbox in the same manner that other contract tasks are accessed.

The following explains how to process a program report through the Inbox.

✓ Before you begin: Log into CMS.

What You Do	*Comments/Prompts*
Select the **Inbox** link from the main menu.	
From the table found on the CMS Inbox page, select the task link PROGREP.	
The *Program Report Review Module* screen opens, allowing you to complete any Interactive documents, download documents and/or upload any supporting documentation associated/assigned to the task. The documents in these sections will differ depending upon how your contract's program reports were set up.	

Accessing and Completing an Interactive Document

As with other contract tasks; interactive documents within the Program Report are those documents that need to have information filled in by the Contractor. They are similar to Download Documents, except the documents are completed online, using an interactive Adobe PDF file. You will fill in the information requested and then click the Submit button located within the document. The completed document is incorporated within the program report package and contains the information you provided.

- ✓ Before you begin: Log into CMS. You should be at the Program Report Review Module page.

What You Do

To complete any available **Interactive Documents**, select the **Action** link (*Insert Details/Update Details*) which will open the document in a separate window for you to enter data.

Complete the document, filling in all requested information. You will be able to click the mouse and put the cursor in any field that is eligible to be updated. Scroll through all the pages to be sure that you have completed the full document.

When you have finished completing all the sections of the document, locate the **Submit** button.

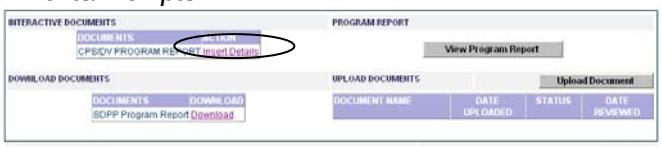
Note: The Submit button may not be on the last page of the document.

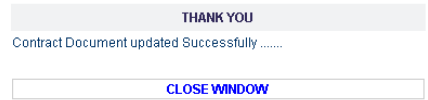
Click on the **Submit** button to save the changes and incorporate the information in the program report.

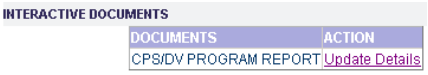
A window will display letting you know that your entry has been saved. Click the **Close Window** button to close this window.

You will see that the **Action** column has changed from *Insert Details* to *Update Details* for the document you just updated.

Comments/Prompts







Downloading Documents from a Program Report

As with other contract related tasks, CMS allows users to transmit program report related documents back and forth electronically through the system. You can retrieve documents through the Download Documents section of the Program Report Review Module page.

These documents may be informational, as in the case of the Instructions document, or they may be files that should be completed offline, and uploaded to the Program Report. Typically, when you access the Program Report Review Module for the first time, you will download the Instructions document first, so that you may review it for directions issued by your Program Manager regarding the report.

The download process within CMS functions the same way as it does for many different applications that function in a Windows environment. You will click the download link for the appropriate document and a window will appear on your screen, asking you where you should save the file. You will select a location, either somewhere on your computer or a network drive, and the file will automatically be stored in that location.

- ✓ Before you begin: Log into CMS. You should be at the Program Report Review Module page.

What You Do

To complete **downloadable documents**, you will typically save the file to your computer, complete it offline of CMS and later upload the completed document to CMS

Select the **Download** action link in the *Download Documents* section.

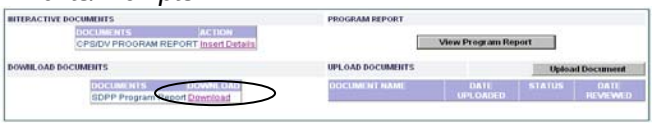
A **File Download** dialogue box will open asking if you want to *Open*, *Save* or *Cancel*. Select **Save**.

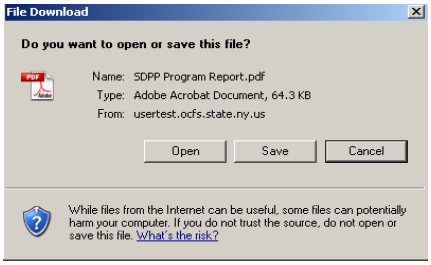
A **Save As** window will open asking you where you want to save the document. Select the location from the dropdown where you wish to save the file and click **Save.**

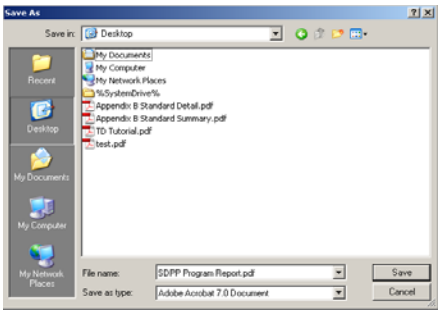
A dialogue box will open telling you that the file has been downloaded to your computer. If necessary, click **Close** to close this window.

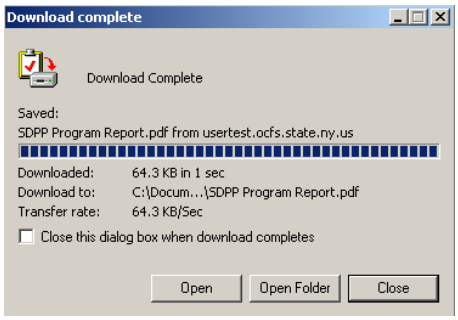
You can now open the version of the file that is located on your computer to review and or complete it offline of CMS.

Comments/Prompts




File Download
Do you want to open or save this file?
Name: SDPP Program Report.pdf
Type: Adobe Acrobat Document, 64.3 KB
From: usertest.ocfs.state.ny.us
Open
Save
Cancel
While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. What's the risk?



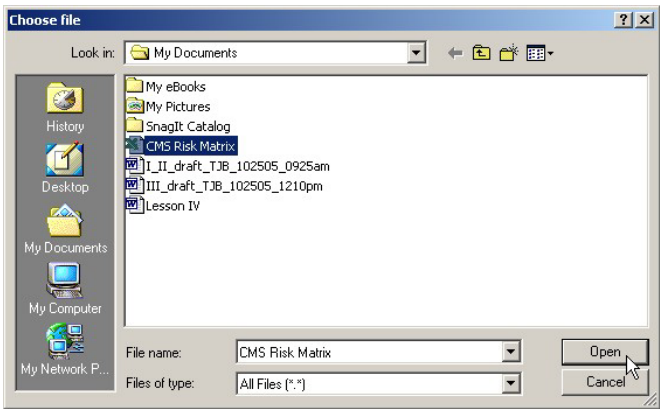


Uploading Documents –Sending Documents to CMS

As with other contract tasks, there may be program report related documents that need to be downloaded from CMS to your computer for completion at a later time. Once these documents have been updated they need to be added to CMS, or *uploaded*. There may also be documents you need to add to the program report that originate with you, the Contractor. These documents can also be uploaded to CMS.

Documents are added via the **Upload Document** page. You select the file that you wish to add, and it is copied to CMS. OCFS reviewers, such as your Program Manager, will review the documents and approve them or send them back to you for additional revision.

✓ Before you begin: Log into CMS. You should be at the Program Report Review Module page.

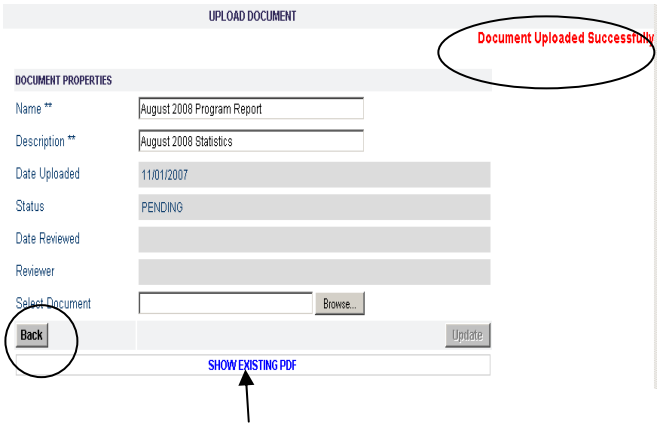
What You Do	***Comments/Prompts***
Locate the Upload Documents section. Click the **Upload Document** link which will take you to the *Upload Document* page.	
Enter the **Name** for the file to be uploaded and a brief description. The grayed out fields will be automatically populated later. **Note**: You must enter both a Name and a Description. Click the **Browse** button to locate the document you wish to upload. The **Choose File** window is displayed. Navigate to the file you wish to add. Click on the file name. The **File Name** will be selected automatically. The only change you should make to the file name is the addition of the revision number. Click the **Open** button.	 

The Upload Documents page will be re-displayed. Click the **Save** button to save your entries and to upload the document into CMS.

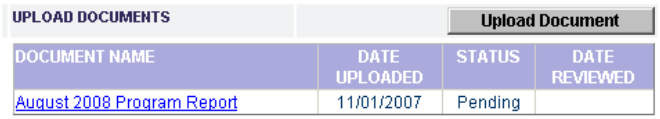
After your document has been uploaded, you will see a message telling you that your document was uploaded to CMS, and the **Date Uploaded** and **Status** fields will be updated.

Click the **Back** button to return to the *Program Report Review Module* screen.

The document you just uploaded will now be listed in the *Upload Documents* table on the *Program Report Review Module* screen. You can view it by clicking on the document name link.



Note: You can use the Show Existing PDF link to view the document you uploaded. It will be opened in a new window for you to review.



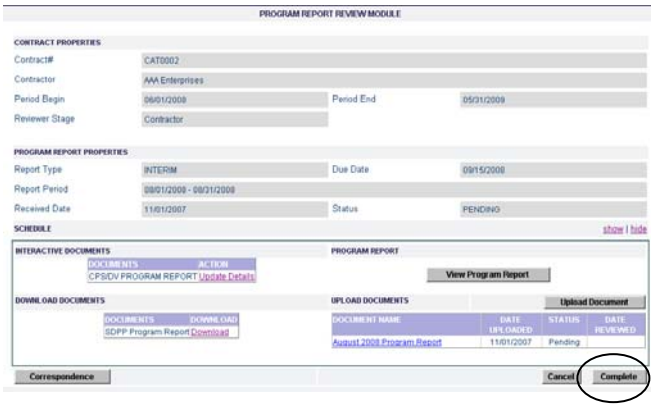
Note: The document's status will be *Pending* until your Program Manager reviews and approves the document.

Completing the Review Process for Your Stage

Once you have completed all necessary steps on the Program Report Review Module, you will complete the review stage. This moves the item out of your Inbox and into the Inbox of the next person in the review schedule. Typically this person will be the OCFS staff person in charge of your contract – the Program Manager.

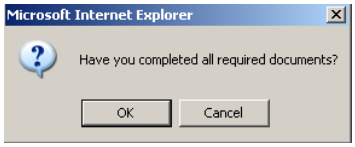
✓ Before you begin: Log into CMS. You should be at the Program Report Review Module page.

If you are logged in as the role which is currently assigned to the stage, and are satisfied that all necessary documents have been completed and/or uploaded, you can complete the current stage.



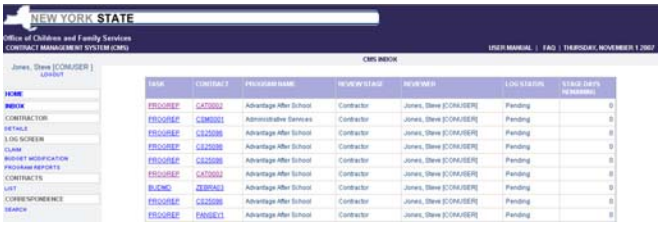
On the Program Report Review Module screen, click the Complete button.

A dialogue box will open asking if you are sure you want to complete the stage, click OK.



The dialogue box will close and you will be returned to the Inbox. The task you just completed will no longer be in your Inbox since you have completed it.

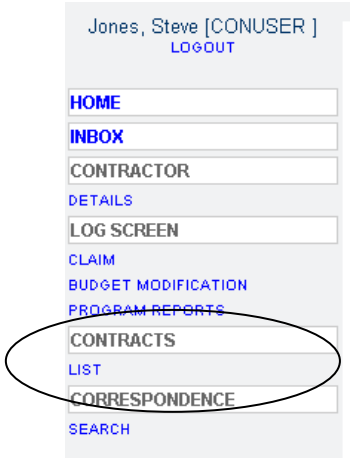
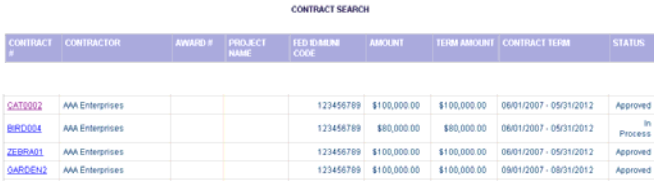
If you want to see information about your program report submission once you have completed your stage, you can do so via the Contracts screen which is explained in the next section.

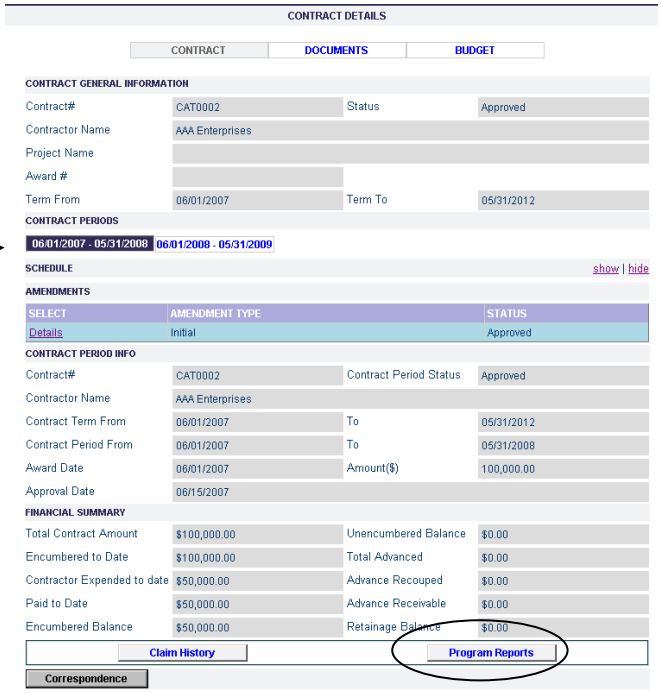


Viewing Program Reports from the Contract Screens

You view in-process or completed program reports through the Contract screens. The list of all scheduled program reports is also listed on these screens.

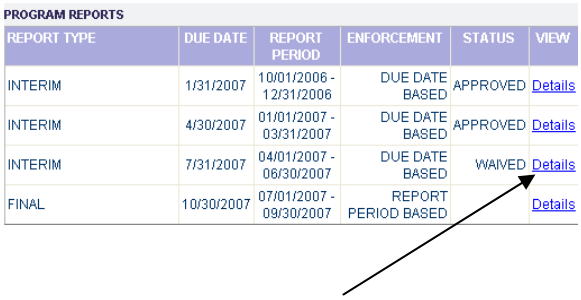
✓ Before you begin: Log into CMS. You should be at the Home page.

What You Do	*Comments/Prompts*
From the main menu select *Contracts List* link.	
The Contract list screen will appear. Click on the **Contract #** link to open the information about the contract.	

What You Do	Comments/Prompts
Click on the **Program Reports** button to open up program report information for the contract. If there is more than one period for the contract, make sure you have selected the right contract period before clicking on the **Program Reports** button.	

The **Program Reports** screen opens showing information about all of the scheduled program reports for the contract period.

To view the details about a specific report, Click the **Details** link in the View column to see details about a specific program report.



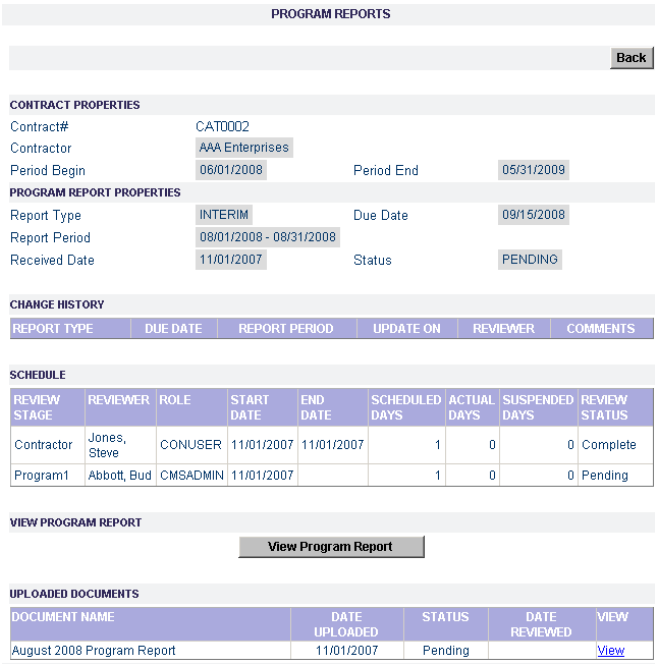
PROGRAM REPORTS

REPORT TYPE	DUE DATE	REPORT PERIOD	ENFORCEMENT	STATUS	VIEW
INTERIM	1/31/2007	10/01/2006 - 12/31/2006	DUE DATE BASED	APPROVED	Details
INTERIM	4/30/2007	01/01/2007 - 03/31/2007	DUE DATE BASED	APPROVED	Details
INTERIM	7/31/2007	04/01/2007 - 06/30/2007	DUE DATE BASED	WAIVED	Details
FINAL	10/30/2007	07/01/2007 - 09/30/2007	REPORT PERIOD BASED		Details

The **Program Reports** screen opens showing details about the selected report.

You can view the Program Report by clicking the **View Program Report** button. The report will open in a new window for you to review. You can close the window by clicking on the **X** in the upper right corner of the window.

Click the **Back** button to return to the **Program Reports** list showing information about all of the scheduled program reports for the contract period.



PROGRAM REPORTS

Back

CONTRACT PROPERTIES

Contract#	CAT0002		
Contractor	AAA Enterprises		
Period Begin	06/01/2008	Period End	05/31/2009

PROGRAM REPORT PROPERTIES

Report Type	INTERIM	Due Date	09/15/2008
Report Period	08/01/2008 - 08/31/2008		
Received Date	11/01/2007	Status	PENDING

CHANGE HISTORY

REPORT TYPE	DUE DATE	REPORT PERIOD	UPDATE ON	REVIEWER	COMMENTS

SCHEDULE

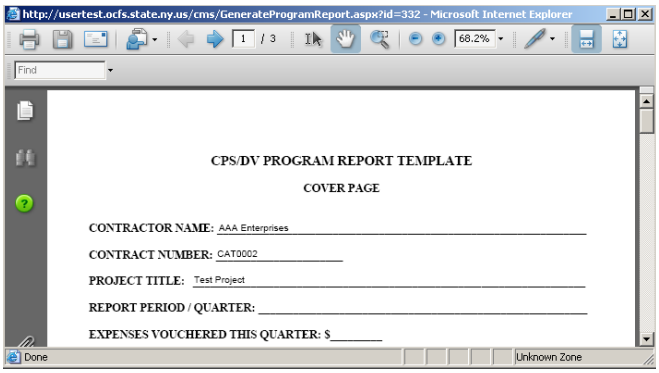
REVIEW STAGE	REVIEWER	ROLE	START DATE	END DATE	SCHEDULED DAYS	ACTUAL DAYS	SUSPENDED DAYS	REVIEW STATUS
Contractor	Jones, Steve	CONUSER	11/01/2007	11/01/2007	1	0	0	Complete
Program1	Abbott, Bud	CMSADMIN	11/01/2007		1	0	0	Pending

VIEW PROGRAM REPORT

View Program Report

UPLOADED DOCUMENTS

DOCUMENT NAME	DATE UPLOADED	STATUS	DATE REVIEWED	VIEW
August 2008 Program Report	11/01/2007	Pending		View



A P P E N D I X A

Reference Information

Topics

a Revision History

Revision History

Date	Filename	Change	
11/14/2006	CMS Contractor Manual.doc	Update manual	
1/17/2007	--FINAL CMS Contractor Manual v011707.doc	Updated screenshots with new system header.	
2/24/2009	--FINAL CMS Contractor Manual v022409.doc	Added Chapters 8 & 9.	